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ABSTRACT

The third of five volumes of a study of instructional programs for handicapped children and youth in separate day care and residential facilities, this document presents the results of an analysis of State education agency (SEA) procedures and the impact of these procedures on special education services and practices within the targeted facilities. The analysis draws upon a variety of sources, including case studies of eight states (California, Connecticut, Florida, Illinois, Louisiana, New Jersey, Ohio and South Carolina), a survey of 50 SEA special education divisions, a survey of 1,941 separate facilities, and case studies of 24 separate facilities from the case study states. Part 1 of the report focuses on the economic and educational context and the structure of state special education systems. Part 2 deals with SEA procedures for special education funding, standards, monitoring, technical assistance, in-service training, program development, and dissemination activities. Part 3 discusses factors affecting educational practice at separate facilities, specifically: changes in student population and mission; factors affecting programs, such as individualized education and transition plans, changes in life skills and vocational education, increased use of treatment and behavioral goals in educational programming, and program evaluation; factors affecting facility staffing, such as staff development and staff evaluation; and factors affecting student integration and parental involvement. Three technical appendices review the study methodology, and 15 references are included. (JDD)

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THE STUDY OF PROGRAMS OF INSTRUCTION FOR HANDICAPPED CHILDREN AND YOUTH IN DAY AND RESIDENTIAL FACILITIES

VOLUME III:
STATE EDUCATION AGENCY PROCEDURES AND EDUCATIONAL PRACTICE AT SEPARATE FACILITIES FOR STUDENTS WITH HANDICAPS

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Policy Research, Inc.

THE STUDY OF PROGRAMS OF INSTRUCTION FOR HANDICAPPED CHILDREN AND YOUTH IN DAY AND RESIDENTIAL FACILITIES

VOLUME III:

STATE EDUCATION AGENCY PROCEDURES AND EDUCATIONAL PRACTICE AT SEPARATE FACILITIES FOR STUDENTS WITH HANDICAPS

January 31, 1990

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EXECUTIVE SUMMARY

The 1983 and 1986 Amendments to the Education of the Handicapped Act (EHA) directed the U.S. Secretary of Education to report to Congress on "an analysis and evaluation of the effectiveness of procedures undertaken by each State education agency, local education agency, and intermediate educational unit to improve programs of instruction for handicapped children and youth in day and residential facilities." The Study of Programs of Instruction for Handicapped Children and Youth in Day and Residential Facilities was conducted in response to that requirement.

There were four specific goals identified for the Study of Programs of Instruction for Handicapped Children and Youth in Day and Residential Facilities:

- To provide nationally representative estimates of the current status of education afforded to handicapped children and youth in separate facilities
- To describe changes in the population and services of separate facilities since the passage of P.L. 94-142
- To describe procedures used by State educational agencies (SEAs) to improve the instructional programs at separate day and residential facilities
- To describe the influence of State procedures on changes in facility practice, as well as the influence of such other factors as the procedures of local and intermediate education agencies

The following design was implemented to meet these goals:

- A survey of separate day and residential facilities, to provide nationally representative estimates of the current status of education afforded to handicapped children and youth in these facilities and to obtain retrospective reports of change
- A comparison of current survey results with certain findings from the 1978-79 OCR survey for those facilities surveyed in both, to describe changes in the population and services of those facilities

- A survey of all fifty States on the procedures used by the State education agencies to affect educational services at separate day and residential facilities, to describe the procedures currently in use

- Case studies of selected facilities within the case study States, to describe the influence of State procedures on facility practices and to identify the influence of other factors on separate facilities

This volume presents the results of the analysis of State education agency (SEA) procedures and the impact of these procedures and other factors on special education services and practices within separate facilities. The analysis draws upon a variety of sources, including case studies of eight States, a nationwide Survey of SEA Special Education Divisions, the Survey of Separate Facilities (reported in detail in Volume II), and case studies of twenty-four separate facilities from within the case study States. The States selected for case studies were California, Connecticut, Florida, Illinois, Louisiana, New Jersey, Ohio, and South Carolina. Three separate facilities were selected in each State and included day and residential facilities operated by State and local public agencies and private facilities. All the case study facilities served students with mental retardation, sensory impairments, or emotional disturbance, the three handicapping conditions most often served in separate facilities.

For the purposes of this study, separate facilities were defined as any residential or day program exclusively serving handicapped persons in buildings physically separate from programs for non-handicapped age peers, at which special education services are provided during the usual school day. Separate facilities may be operated by local districts or intermediate units, by State agencies, or by private organizations. The special education services may be provided by the operating agency or organization, or by another agency or organization. Students may be placed in separate facilities, particularly residential facilities, primarily for reasons other than to receive special education services (for example, to receive medical or psychological services or long-term care). Correctional facilities and facilities such as hospitals, diagnostic centers, or treatment facilities with average lengths of stay of less than 30 days were not considered to be separate facilities for the purposes of this study.

Special Education System and the Placement of Students with Handicaps Across the States

As mandated by the requirements of the 1975 Education for All Handicapped Children Act (P.L. 94-142), all States have put into place procedures to identify and provide educational services to school-age residents who have physical, emotional, or cognitive impairments that require specially designed instruction or related services in order to benefit fully from the educational process. Since the passage of P.L. 94-142, the proportion of the school-age population identified as handicapped has increased, as has the total number of students receiving special education services. Across the nation, the proportion of the resident population ages 3 through 21 who are served in the special education system increased from 5 percent in the 1976-77 school year to 6.5 percent in 1986-87. The total number of handicapped students identified and reported by the States to the U.S. Department of Education increased between 1976-77 and 1987-88 from 3,708,601 to 4,494,280 students. However, the proportion of handicapped students served in separate facilities over the period has generally remained stable; in both 1976-77 and 1986-87 the proportion across all age groups was about 6 percent. There is considerable State-by-State variation in these proportions, however. The case study States range from 3.3 to 12.7 percent of handicapped students served in separate facilities in 1986-87.

In most States, a broad range of agencies, both public and private, are involved in the provision of services, educational and/or residential, in separate facilities. In all States, local school districts have primary responsibility for special education, and in twenty-nine States local districts were reported to operate at least some separate facilities, almost all day programs. Some (fifteen) States also provide mechanisms for joint agreements among districts or for regional units (for example, at the county level) to operate separate facilities as well. In twenty-five States, the State education agency (SEA) provides direct services to students with handicaps through the operation of separate facilities, most often residential schools for students with hearing or visual impairments. In all States there is one or more State agencies other than the SEA involved in operating separate residential facilities for persons with handicaps; in general, the operating agency also provides the educational program for school-age residents, although in some States that responsibility has been or is being transferred to local districts or intermediate units. Private schools for students with handicaps offer day and residential programs to students placed there by the local education agencies (LEAs) in all but eight States.

All States have a subunit (division, department, or bureau) within the State education agency with primary responsibility for special education programs. In most States (45 out of 50) the SEA special education division is organized primarily by function, although many also assign staff to geographic regions of the State or use specialists in special education programs for students with particular handicapping conditions. The major activities conducted out of the SEA special education divisions include administrative activities such as planning and grants management (an estimated median of 18 percent of staff time across the States), compliance monitoring (19 percent of staff time), and technical assistance, program development, and dissemination (42 percent of staff time). Other activities can include interagency liaison with other State agencies, due process and mediation, and student evaluation.

SEA PROCEDURES

States have available a number of procedures to influence special education programs and instructional practices, with the ultimate aim of improving the education provided to students with handicaps in all settings, including separate facilities. These procedures include:

- Funding (the level and distribution of entitlement and discretionary or special purpose grants)
- Standards (in such areas as staff certification, student-staff ratios, class size, length of school day and year, and curricula or graduation requirements)
- Monitoring (in terms of content or focus, preparation and follow-up activities, and sanctions or assistance associated with SEA review of facility records and procedures)
- Technical assistance and training (via seminars or workshops and consultation with individual facilities)
- Program development and dissemination (development, adaptation, and/or the distribution of curricula, instructional materials, procedural manuals, or information on state-of-the-art practices)

Funding

In almost every State, Federal, State, and local funds are combined to support the costs of special education and related services provided to students with handicaps. State special education funding programs have several components. The principal component is the formula used to distribute State funds to districts to pay for the costs of students' educational programs. This formula, and variations in the formula or separate mechanisms used to fund students or programs in separate facilities, influence primarily placement patterns rather than the educational programs at the facilities. That is, incentives or disincentives may exist for educational placements in out-of-district facilities, whether operated by other districts or intermediate units, State agencies, or private organizations, depending upon how districts are reimbursed and for which types of placements districts are financially responsible.

There are five general funding approaches currently used by States to distribute State funds to local districts:

(1) Flat grant per teacher or classroom unit

(2) Percentage or excess cost

(3) Percentage of teacher/personnel salaries

(4) Weighted pupil formula

(5) Weighted teacher/classroom unit formula

The weighted pupil formula is used by the largest number of States (19); 12 States use a percentage or excess cost reimbursement formula; and 10 use a flat grant formula. State directors of special education reported that pupil weighting formulas have the potential of encouraging student placements in higher reimbursement categories, including separate facilities if these placements are reimbursed at higher rates than other types of placements. Percentage or excess cost formulas allow districts to be reimbursed for a portion of the costs of educating students with handicaps. These formulas generally do not distinguish among types of placements for reimbursement purposes. Thus, districts would be able to receive equivalent reimbursement under such a formula for a high-cost program operated by the district as for similar programs provided in State, private, or other separate facilities. Flat grant formulas were not reported by themselves to encourage the use of separate facilities; however, this formula is often accompanied by other funding provisions for students served outside the district, which may create an incentive for out-of-district placements if the State pays a higher share of such placements than for programs operated by the districts.

In many cases, the funding mechanism used by the State to distribute funds to local districts is not used to fund out-of-district student placements. There are five approaches used by States to fund such placements:

- Direct State appropriation to the facility
- Direct payment by the SEA to the facility, using the same formula used to distribute funds for LEA programs
- Direct payment by the LEA to the facility, with SEA reimbursement to the LEA using the same formula used to distribute funds for LEA programs
- Direct payment by the LEA to the facility, with SEA reimbursement to the LEA using a different formula than the one used to distribute funds for LEA programs
- Payment to the facility by a non-education agency

The approaches used to fund out-of-district placements vary considerably both across placements within States and across States. However, the potential impact of any method for paying for the educational costs of out-of-district placements is confounded by the fact that many of such placements are made for non-educational purposes, and by agencies other than the State or local education agencies.

Most States that operate intermediate education unit or regional programs fund placements in these programs using the same formula used to fund district programs, generally with the placing district paying tuition to the intermediate or regional program and receiving reimbursement from the State. The vast majority of SEA-operated residential facilities receive direct State appropriations for their operation, and districts pay little or nothing of the educational costs of students placed in these facilities. In almost every State, at least one State agency other than the SEA operates a separate residential facility. The most common method used for funding residential placements in other State agency programs is for the placing agency to be responsible for residential costs, while the placing district or the SEA pays for the educational costs. The greatest variability in funding methods across the States pertains to approaches for funding private school placements. In some States, no State special education funding is provided for private school placements. The most common approach used to fund private placements is the direct payment of tuition by the placing district using the same or a different formula as is used to fund district programs. The formula can leave districts with greater costs for private school placements than for most in-district programs, thus serving as a disincentive to nonpublic school placement. On the other hand, in some States, districts can receive an equal or greater reimbursement for private school compared with local district placements.

Overall, the methods used by the States to fund within and out-of-district special education placements are not designed to impact on the programs offered by separate facilities. Rather, the major effect of State funding procedures, reported by State directors of special education, stems from their potential to influence the use of separate facilities through the operation of incentives and disincentives. In all cases, individual placement decisions are based on assessed needs of students for particular program services, with the provider selected that can best meet those needs. In selecting among potential providers, districts were reported to consider the impact of State funding formula for particular placement options on their overall costs.

Federal funds are a source of funds frequently called upon by the States in efforts to improve programs, through funds provided under Part B of the Education of the Handicapped Act and Chapter 1 of the Elementary and Secondary Education Act (State Operated Programs). A major use of EHA-B set-aside funds is the funding of special education resource or materials centers and technical assistance networks, while Chapter 1 funds are generally targeted toward supplementing personnel resources.

Standards and Monitoring

All States establish educational standards in the areas of staff certification and program content, to affect the quality of special education programs. These standards provide the context in which all education programs must operate within a State, including special education programs at separate facilities. Separate facilities are generally required to conform to the same standards for staff qualifications and program content as the special education programs that operate in local public schools. Thus, educational standards by themselves do not provide States with a unique tool for improving educational programs at separate facilities.

Federal regulations require that SEAs monitor all educational programs within the State to ensure that all providers comply with Federal and State provisions and guarantee a free appropriate public education for all students with handicaps. The Federal requirements emphasize compliance with procedures more than program content, and as a result the monitoring systems designed by the States are quite similar. The monitoring of all public agency programs generally consists of three phases: data collection and review of documentary material, on-site validation and review of records (including samples of students), and reporting and follow-up. The greatest variation across States occurs in the last phase, in that some States use the reporting and follow-up phase to provide extensive technical assistance geared toward program improvement. There is also considerable variation across the States in whether private school approval processes focus on the unique characteristics of the special education program and whether private facilities are monitored independently or in conjunction with LEA monitoring.

Virtually all States reported that monitoring had its primary impact on ensuring that special education programs meet minimum Federal and State regulations, and that compliance reviews provide opportunities to encourage program improvements. The format and content of monitoring instruments and procedures and the standards used in monitoring were cited as the most important factors in influencing the effectiveness of compliance monitoring systems. The authority to monitor special education programs operated by other State agencies was seen as a particularly powerful tool to effect change at those facilities. About half the States reported that monitoring focused increasingly on program content and instructional issues. States generally also reported that compliance monitoring was an effective method for identifying technical assistance needs for future dissemination and program development efforts.

Technical Assistance, In-Service Training, Program Development, and Dissemination

A traditional role of State education agencies has been to provide local education agencies with information and assistance in maintaining and upgrading staff expertise and skills and in improving instructional programs, approaches, and materials. EHA mandated that States conduct systematic and regular assessment of the needs for program improvement and staff development and formulate State-wide plans to address those needs. States also continue to engage in a variety of other activities designed to assist special education providers in improving services delivered to handicapped students.

All States provide technical assistance and staff training services to special education providers through the SEA and generally also through other State agencies involved in the operation of separate facilities. Staff at all special education programs in a State have access to SEA staff and to special education resource/materials centers, although it was generally noted that the assistance and training provided through these mechanisms were generally of greater relevance to staff at local districts than to staff at separate facilities, because the nature of student needs and programmatic issues differs between these two types of programs.

However, in some States, SEA staff and resource/materials centers are more specialized than in others and focus on programmatic issues associated with low-incidence and severe handicaps of more relevance to separate facilities. Also, a direct and routinized link between monitoring and technical assistance, when separate facilities are monitored directly by SEA special education staff, was also reported to be an effective method for focusing on program improvement issues.

Program development is a resource-intensive activity and one that has been less consistently emphasized [illegible] a major part [illegible] the activities of SEA special education divisions. Resource/materials centers were reported [illegible] be the primary producers of specialized instructional materials. To date, States appear to have focused their program development efforts most often on identification and evaluation issues and on designing programs to serve severely impaired students and those with low-incidence handicaps. More extensive involvement in program development appears to be associated with the development of Statewide curriculum requirements and the extension of these requirements to special education.

Dissemination of state-of-the-art information on special education regulations, procedures, instructional approaches, and materials is a mandated activity for SEAs under P.L. 94-142. In States where resource/materials centers have major responsibility for technical assistance and training, they also usually have responsibility for dissemination. Workshops and conferences are the single most important vehicle for the direct involvement of SEA special education divisions in dissemination. Workshops and conferences are typically used for transferring information on both instructional and procedural or regulatory issues. Staff at separate facilities are notified of these events, but participation was reported to vary greatly according to the topic under discussion.

Changes in Student Populations and Mission at Separate Facilities

The numbers and characteristics of students served in separate facilities since the implementation of P.L. 94-142 have changed substantially. Among day facilities, publicly operated separate programs have increased in size, while private programs have had a slight decrease. Among residential facilities, the opposite is true. Students with mild or moderate mental retardation are a smaller proportion of students in separate facilities than in the past, while students with more severe mental retardation and emotional disturbance form larger components of the population of separate schools. Separate day schools have expanded their services to the birth through five-year age range with early intervention and pre-school programs, while residential facilities serve a larger proportion of older students (ages 18 through 21) than previously.

The major factor associated with these changes in student populations at separate facilities was a change in the orientation and services of other providers in the special education system, particularly an increased capacity and willingness to serve students with handicaps among local educational agencies. This factor was associated with the increased severity of impairment noted among students now enrolled in separate facilities. The deinstitutionalization movement affected population shifts at smaller, usually day, programs. The increased need for residential programs for students with emotional, behavioral, and familial problems has led to an increase in students at some separate facilities, often placed by non-education agencies for treatment rather than special education.

The response of separate facilities to changing student populations has been varied, but includes the expansion of services to students with significant secondary handicaps and to students with handicaps not previously served by the facility. A number of separate facilities have also expanded their efforts to share staff experience, technological expertise, and instructional materials with local educators, parents, and other service providers.

Changes in Educational Practice at Separate Facilities and Factors Affecting Changes

This study used both national survey and case study data to examine changes in several areas of educational practice at separate facilities:

- o Programs and methods of instruction, including:
    - Transition planning
    - Vocational and life skills training
    - Integration of therapy and related services into educational programming
    - Program evaluation

- Staffing, including:
    - Numbers and types of staff
    - Staff development activities
    - Staff evaluation
- Opportunities for student interaction with nonhandicapped persons
- Opportunities for parents to become involved in their child's education

Programs of Instruction

Individualized education plans have become almost universal among separate facilities under the requirements in P.L. 94-142. Transition plans are more often developed now as well, although they are not as prevalent as IEPs. Most formal transition planning focuses on the transition between the educational system and the adult world and includes the development not only of student skills and behaviors but also of the necessary links with adult service providers, residential settings, and employment opportunities. State requirements for transition plans, facility initiative in responding to the changing needs of more severely impaired students, and technical assistance provided by the SEA special education division were the most frequently mentioned factors in the development of transition plans and programs.

The most frequently mentioned change in educational programming at separate facilities was an increased emphasis on vocational and community living preparation and training. Factors associated most often with this increase in emphasis were changes in the characteristics of the student population and their needs, with information and training provided by State special education division staff or resource/materials centers. Some separate facilities were able to use special funds to support new or innovative programs in this area.

The other major area of change in educational programs at separate facilities was the increase in the use of therapy and related services associated with the integration of treatment and behavior modification goals into educational programming. The factor associated with these changes was generally the increase in the severity of impairment and the prevalence of multiple handicapping conditions among the students at separate facilities.

There were few substantive changes in program evaluation activities at separate facilities since 1975.

Staffing

Most separate facilities report that instructional staff have more appropriate training than prior to 1975 and that more staff are certified or licensed. State certification standards and their application across the special education system were credited with this change, although the availability of technical assistance and training provided by the SEA special education divisions was also a factor in increasing the quality of staff.

Associated with changes in student needs and programmatic changes to address those needs, the composition of staffs at separate facilities has also changed. A substantial proportion of separate facilities have more vocational instructors, transition specialists, and related services personnel than in the past.

However, many separate facilities find it difficult to recruit and retain appropriate staff for their programs, particularly related-services staff (such as occupational, physical, and speech therapists and nurses), as well as teachers for the emotionally disturbed and teachers certified for more than one handicapping condition or for special education and another area of education (such as vocational education). In some cases, State certification requirements have made it harder to find staff, while competition for staff and differential salaries among types of educational settings have contributed to the problems of recruitment, while staff burnout associated with a greater severity of student impairments was the factor associated with problems in staff retention.

The overall student-staff ratio at separate facilities has not changed substantially since 1975.

The major changes in staff development were reported to be a shift in focus from compliance procedures to instructional approaches, an increase in the number of opportunities to participate in workshops or classes, and a closer relationship between staff development and student and staff needs. SEA-provided or supported technical assistance and information dissemination activities were noted most frequently as a factor associated with these changes in staff development.

Staff evaluation activities are regularly conducted at most separate facilities and were not reported to have changed substantially since 1975.

Opportunities for Student Integration and Parental Involvement

Most students at separate facilities do not interact with non-handicapped persons extensively as part of programs organized by the facility. However, most separate facilities regularly provide opportunities for some student involvement with nonhandicapped peers and with the community in which the facility is located. Over half of separate facilities reported increases in opportunities for student interaction with nonhandicapped peers--a change associated with general societal trends in the acceptance of persons with handicaps, with programming that focuses on practical life skills and experiential learning, and with the dissemination of models for community involvement by the SEA.

Parental involvement in their children's educational programs has increased significantly since the passage of P.L. 94-142, since it mandates parents' participation in placement and program decisions. However, separate facilities reported that parental involvement in other aspects of students' educational careers and in parent support activities sponsored by the facility were generally only moderate at best. Facilities had increased their activities that involve parents and staff contact with parents, as part of continued response to EHA requirements and on-staff initiative.

Patterns of the Effects of SEA Procedures on Changes at Separate Facilities

There is some variation in the reports of how SEA procedures have affected educational practices at separate facilities. In general, public facilities operated by State and local agencies were more likely to report the effects of SEA standards on changes in facility practices. Differences in the effects of SEA funding or monitoring procedures between public and private facilities were minor. Separate facilities operated by local or regional public entities gave more credit to SEA-provided or funded technical assistance and dissemination activities for changes in their programs than did State-operated or private facilities. This confirms reports by SEA special education division staff that these SEA activities are generally oriented toward local district special education programs.

There was also some difference in the effects of SEA procedures across the eight case study States. State standards were generally consistently reported across the States. However, facilities in Ohio and Illinois more frequently than other States mentioned monitoring as a factor in changes in educational practice, perhaps associated with the provision of technical assistance and follow-up to monitoring. The technical assistance, training, program development, and dissemination activities of the SEA or of the SEA resource/materials centers were mentioned most frequently as factors associated with changes in Ohio. The close link between monitoring and technical assistance for program improvements and the extensive and active special education resource/materials network in that State may be the critical elements.

Overall, many if not most of the changes in educational practice at separate facilities are directly related to the changes in the number and characteristics of the students served at those facilities, particularly increases in the severity of impairments and the prevalence of multiple and secondary handicaps. Changes in staffing, staff development, program content, and instructional approaches were all reported to be closely related to changes in the student population and to the initiatives of facility leadership and staff in responding to student needs.

The procedures implemented by State educational agencies were also frequently mentioned as factors in the changes at separate facilities. The implementation of State standards was mentioned by many facilities as having an impact on staffing and staff development, individualized education and transition plans, and parental involvement.

The States' special education system for technical assistance, training, program development, and dissemination was also frequently mentioned as a factor in changes at separate facilities, particularly in staff development activities and the development of life skills and transition programs.

Neither monitoring nor funding was mentioned frequently as a factor that affects changes in educational practice at separate facilities. The focus of monitoring has been on compliance rather than program improvement issues, although this appears to be changing, and while funding levels are an important parameter within which facilities must operate, there were not many specific funding initiatives available to support and sustain program improvements at separate facilities.

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THE STUDY OF PROGRAMS OF INSTRUCTION FOR HANDICAPPED CHILDREN AND YOUTH IN DAY AND RESIDENTIAL FACILITIES

VOLUME III:

STATE EDUCATION AGENCY PROCEDURES AND EDUCATIONAL PRACTICE AT SEPARATE FACILITIES FOR STUDENTS WITH HANDICAPS

PART ONE: DESIGN AND CONTEXT

I. INTRODUCTION AND DESIGN

The Education of the Handicapped Act (EHA) Amendments of 1983 and 1986 required that U.S. Department of Education collect information on special education programs for children and youth with handicaps in separate facilities. The mandate called for: "an analysis and evaluation of the effectiveness of procedures undertaken by each State education agency, local education agency, and intermediate educational unit to improve programs of instruction for handicapped children and youth in day or residential facilities" (Section 618(f)(2)(E) of P.L. 98-199). To respond to this mandate, the Office of Special Education Programs awarded a contract to Mathematica Policy Research, Decision Resources Corporation, and the University of Minnesota to conduct a Study of Programs of Instruction for Handicapped Children and Youth in Day and Residential Facilities.

The facilities of concern for this study are referred to in this report as "separate facilities." A separate facility was defined as a residential or day facility exclusively serving handicapped persons in buildings physically separate from programs for non-handicapped age peers. Eligible separate facilities may be operated by the State education agency, other State agencies, local education agencies, county or regional agencies, or private organizations. However, correctional facilities and those with average lengths of stay of less than 30 days were excluded from this study.

A residential separate facility was defined as a separate facility at which at least some handicapped persons reside and at which at least some students age 0 to 22 receive educational services on the grounds of the facility during the usual school day. The special education services at these facilities may be provided by the operating agency or by another agency. It is important to note, with regard to residential schools or facilities, that many students are placed primarily for reasons other than to receive special education services. These placement decisions may be made to provide relatively short-term medical or psychological treatments or long-term residential care which could continue indefinitely. A separate day school or facility was defined as a separate facility at which no handicapped persons reside and at which students age 0 to 22 receive educational services during the usual school day.

There were four specific research goals of the Study of Programs of Instruction for Handicapped Children and Youth in Day and Residential Facilities:

- To provide nationally representative estimates of the current status of education afforded to handicapped children and youth in separate facilities
- To describe changes in the population and services of separate facilities since the passage of P.L. 94-142
- To describe procedures used by State educational agencies (SEAs) to improve the instructional programs at separate day and residential facilities
- To describe the influence of State procedures on changes in facility practice, as well as the influence of other factors such as the procedures of local and intermediate education agencies.

This volume of the final report for the Study of Programs of Instruction for Handicapped Children and Youth in Day and Residential Facilities presents the results of the analysis of SEA procedures and their impact on special education services within separate facilities. The remainder of this chapter details the research questions addressed by the analysis and describes the data collection and analysis approaches.

A. RESEARCH QUESTIONS AND OVERALL DESIGN

The study of SEA procedures and their impact on educational practice at separate facilities addressed three related sets of questions (see Murphy, 1980, for a similar approach):

1. What procedures are used by State education agencies to influence special education programs at separate facilities?
2. What is the perceived and/or experienced effect of State procedures on special education programs at separate facilities?
3. What accounts for variations in the effectiveness of State procedures, and what other factors affect special education programs at separate facilities?

The dimensions of special education programs examined in this study were those which are the focus of and/or are susceptible to policy interventions, particularly at the State level. Such dimensions include staffing, instructional approaches, delivery of program services (including opportunities for integration), and accountability (such as planning and assessment at the student level and program evaluation).

States have available a number of types of procedures to attempt to improve special education programs and instructional practices and ultimately the education provided to handicapped students in separate facilities (as well as that provided in other settings). These procedures include:

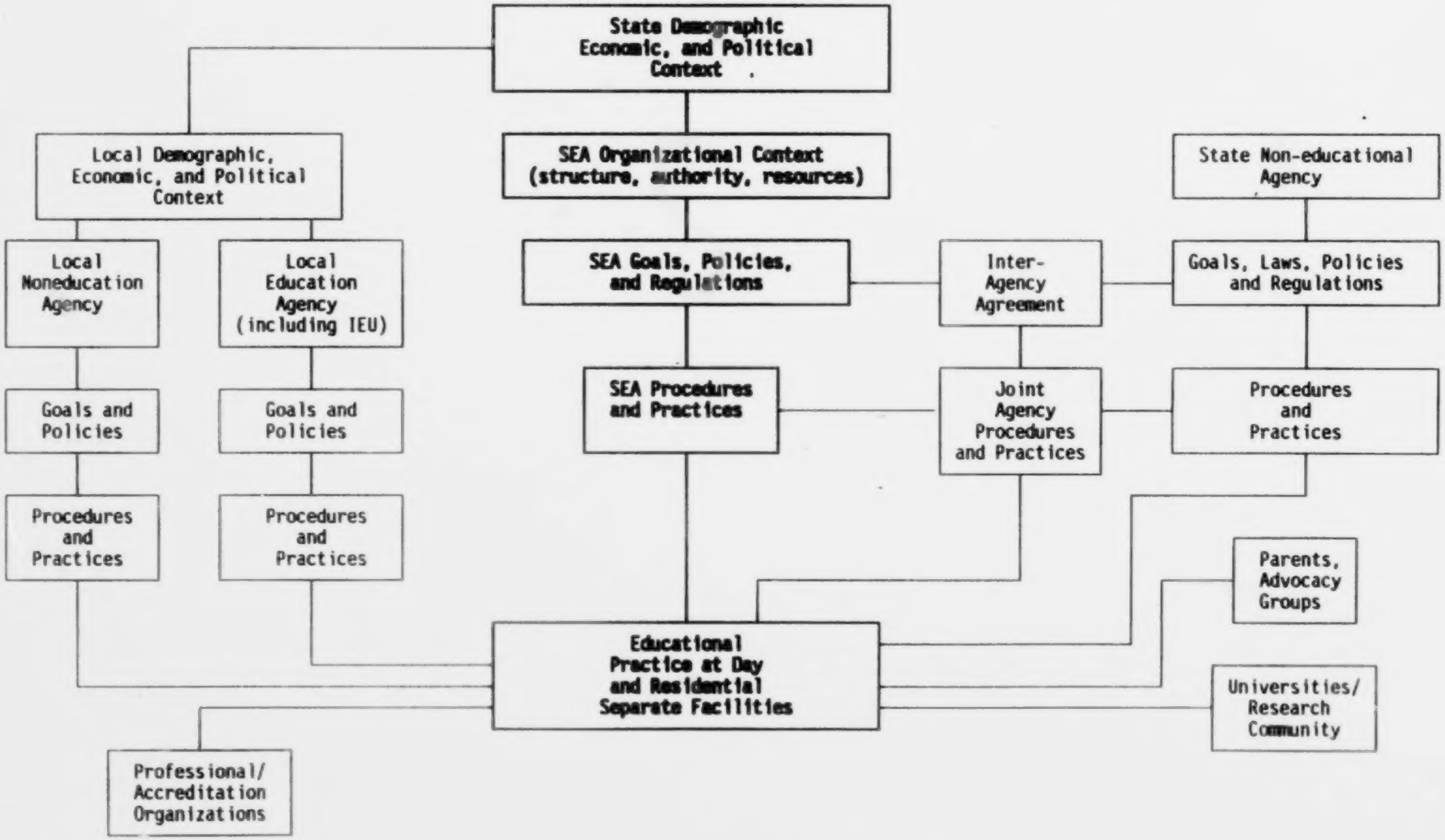
- Funding (the level and distribution of entitlement and discretionary or special purpose grants)
- Standards (in areas such as staff certification, student-staff ratios, class size, length of school day and year, curricula or graduation requirements)
- Monitoring (in terms of content or focus, preparation and follow-up activities, and sanctions or assistance associated with SEA review of facility records and procedures)
- Technical assistance and training (via seminars or workshops and consultation with individual facilities)
- Program development and dissemination (development, adaptation, and/or distribution of curricula, instructional materials, procedural manuals, or information regarding state-of-the-art practices)

These SEA procedures are embedded within the larger entire special education system, which includes not only local educational agencies and intermediate education units but also other State agencies and numerous non-governmental groups and organizations. Figure I.1 illustrates, in schematic form, the system of organizations and organizational policies, procedures, and practices as they were hypothesized to relate to day and residential facilities. Each line shown in the figure is a hypothesized path of influence and each box an element of the system.

This study primarily focused on the elements of the system and paths of influence in the center of the figure--those directly linking the SEA

FIGURE I.1

SYSTEM OF ORGANIZATIONS
RELATED TO SEPARATE FACILITIES


State Demographic Economic, and Political Context
Local Demographic, Economic, and Political Context
SEA Organizational Context (structure, authority, resources)
State Non-educational Agency
Local Noneducation Agency
Local Education Agency (including IEU)
SEA Goals, Policies, and Regulations
Inter-Agency Agreement
Goals, Laws, Policies and Regulations
Goals and Policies
Goals and Policies
SEA Procedures and Practices
Joint Agency Procedures and Practices
Procedures and Practices
Procedures and Practices
Procedures and Practices
Parents, Advocacy Groups
Educational Practice at Day and Residential Separate Facilities
Universities/ Research Community
Professional/ Accreditation Organizations

organization and procedures with facility practice. Other parts of the figure were explored as they related to the effect of SEA procedures on the educational programs at separate facilities.

The primary focus of this study was specified to be the link between State education agencies and separate facilities as a way of understanding change in several key aspects of educational practice at separate facilities. Therefore, the unit of analysis is the facility. The goal of the case studies undertaken within the overall design of the project was to identify and describe how State education agencies had been able to use various State-level procedures to influence changes in educational practices at separate facilities since the passage of P.L. 94-142. There are inevitably other issues that, while important, cannot be, and were not intended to be, addressed by this study. These include examination of changes in the procedures by which students are identified, evaluated, and placed in separate facilities; analyses of the educational processes at separate facilities as they are designed to meet the unique needs of individual students placed there; and assessment of the quality of instruction at separate facilities and changes in quality as indicated by student outcomes. This study does, however, lay the groundwork for research on these and other important issues, by providing a detailed description of the current characteristics and practices at separate facilities and the changes which have been undergone at separate facilities over the past decade and a half.

Four coordinated data collection efforts were used to examine the research questions and the relationships outlined in Figure I.1. Two separate but related in-depth case study efforts were conducted, one at the level of the State education agency (conducted in mid-1987), and the other at the level of individual separate facilities within the State (conducted in 1988).[1] While not a nationally representative sample of States or facilities, these case studies supported a detailed examination of the dynamics of the relationship between State procedures and facility practice. In addition to the case studies, a survey was conducted in 1988 with the State divisions of special education in all fifty States and the District of Columbia.[2] A survey of nearly 2,000 separate facilities, also conducted in 1988, provided quantified nationally representative data on educational practice and changes at separate facilities. Both surveys asked for data from the 1987-88 school year.

B. DESIGN OF THE STATE-LEVEL DATA COLLECTION EFFORT

An understanding of the role of SEA procedures in affecting educational practice at separate facilities for handicapped students must take into account variation in the role and functions of State education agencies and in the structure of States' special education systems.

The State-level components of the study served three important purposes:

- o To provide a detailed understanding of SEA procedures, as designed and implemented, both currently and as they have changed since the passage of P.L. 94-142

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[1] The design of the case study component of this study drew heavily upon the approach described in Yin, 1984.

[2] All States except Hawaii responded to this survey.

- To describe variations in SEA procedures in States with differing special education systems
- To provide a better understanding of how States view the response of individual facilities to SEA procedures in preparation for the facility-level case study

Accordingly, State-level data were required in the following areas:

- The organizational structure and authority of the divisions of special education within SEAs
- The procedures and practices of SEAs with regard to special education and their effectiveness as reported or documented at the State level
- Perceived barriers or facilitators to the effective implementation of SEA special education procedures
- Historical background of special education, including patterns of use of separate facilities
- The demographic, economic, and political context of the States

1. Data Needs for State-Level Case Study and Survey of SEA Special Education Divisions

The State-level Case Studies[3] provided detailed data on SEA procedures and on changes in SEA procedures since passage of P.L. 94-142 mandated that State education agencies take responsibility for the supervision of all publicly supported special education programs. Table I.1 presents a detailed summary of the specific data categorical elements identified for the State-Level Case Study effort. The State-Level Case Study effort, while focusing on the special education division of the SEA, also included extensive interviews with

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[3] These case studies were conducted by staff of Mathematica Policy Research, Decision Resources Corporation, and the University of Minnesota.

TABLE I.1

DATA CATEGORIES AND ELEMENTS FOR STATE-LEVEL CASE STUDIES

Data Category	Specific Data Element	Further Description
Historical Background to Special Education	Legislative and Court Actions on Special Education Issues	Major provisions of current statutes Major changes in statutory provisions Major court actions or legislative inquiries
	Role of Other Agencies in Special Education	Current and past involvement of other agencies in terms of funding, provision/supervision of educational services, standards and monitoring
	Use of Separate Facilities	Current and past placement patterns, numbers and types of separate facilities, numbers and handicapping conditions of students placed in separate facilities
SEA Organizational Structure and Authority	Interorganizational Structure of SEA	Status of SEA within State government Functions handled outside SEA
	Interorganizational Structure of Special Education Division	Status of special education within SEA Functions handled outside division Units/functions within division Centralized versus regional structure Current and past staffing patterns

TABLE I.1 (continued)

Data Category	Specific Data Element	Further Description
	Local Autonomy	Definitions and legal authority of substate educational units State authority over local unit operations, budgets, decisions Fiscal relationships between SEA and local units
SEA Plans and Goals Regarding Special Education	Targetted Areas for Improvement	Current and past goals Allocation of staff and budget Priority areas for monitoring, use of discretionary funds, training and program development Procedures used to achieve specific goals Perceived/documented success in goal attainment
	Planning and Evaluation Activities	Existence and status of long range planning and/or evaluation unit/function Resources/activities/products Factors affecting development and/or implementation of plans
SEA Procedures and Practices	Allocation of Funds: Current and Timeline of Major Changes	Availability, sources, and control of funds Funding allocation formula Availability/Use of discretionary funds Use of funds as incentives and/or sanctions

TABLE I.1 (continued)

Data Category	Specific Data Element	Further Description
	Certification and Standards: Current and Timeline of Major Changes	Regulations/requirements Applicability to separate facilities Problem areas Compliance/exceptions Sanctions available and applied
	Monitoring: Current and Timeline of Major Changes	Locus of responsibility Instruments and procedures Application of sanctions Schedule vis-a-vis separate facilities
	Inservice Training: Current and Timeline of Major Efforts	Assessment of need Resources Methods of provision Participation by separate facilities
	Technical Assistance: Current and Timeline of Major Efforts	Assessment of need Resources Methods of provision Participation by separate facilities
	Program Development: Current and Timeline of Major Efforts	Targetted areas Resources Products Utilization by separate facilities

TABLE I.1 (continued)

Data Category	Specific Data Element	Further Description
	Dissemination: Current and Timeline of Major Efforts	Resources/staff Activities/products Content Participation by/distribution to separate facilities
Facilitators/ Barriers to Implementation of Procedures	Current and Timeline of Major Impacts	Legal/regulatory provisions Political relationships/ agendas Financial constraints Organizational structure/ authority
Demographic, Economic, Political Context	Current and Timeline of Major Changes	Funding levels and sources for education Political agendas Economic climate of State Shifts in population

staff at other State agencies operating or monitoring separate facilities for students with handicaps (for example, the State departments of mental health, mental retardation, child welfare, and so on).

The Survey of SEA Special Education Divisions[4] of necessity focused on a smaller set of variables, those which appeared, based on the case studies, to be critical to State impact on separate facilities. It also obtained data only from staff in the SEA's special education division. (See Table I.2; the questionnaire is included in Volume IV of this report.) The survey data were primarily designed to provide descriptive data on SEA procedures for all States at the time of the survey, that is, mid 1988.

The analyses of change and the impact of SEA procedures on facility practice were the unique contribution of the integrated State-facility case study effort.

2. Selection and Recruitment of Case Study States

Eight States were selected for case study. These States are not intended to be representative of all the States. Given the complexity of the relationships between States and separate facilities, States were selected primarily based on the State's reported use of those facilities.

a. Criteria for State Selection

Based on State placement patterns for day and residential facilities (as reported to the U.S. Department of Education and subsequently published in the

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[4] This survey was conducted by Mathematica Policy Research. The survey data include information provided by the District of Columbia and all States except Hawaii.

TABLE I.2

DATA CATEGORIES AND ELEMENTS FOR SURVEY OF SEA SPECIAL EDUCATION DIVISIONS

Data Category	Specific Data Element
Organization and Responsibilities of the Division of Special Education	Organizational Structure Number of Professional Positions Allocation of Staff Time by Area of Responsibility Goals and Priorities of Division of Special Education Changes since 1975 in Organization, Staffing, Responsibilities of Division of Special Education
State Funding of Special Education Programs	Funding Formula for LEA Programs Funding Mechanisms for Other Special Education Programs Allocation of EHA-B Grant Incentives/Disincentives of State Funding Mechanisms for Student Placement in Separate Facilities
Standards for Special Education Facilities and Programs	Comparison of LEA to Other Special Education Program Standards School Approval Procedure by Type of Program
Compliance Monitoring	Monitoring Procedures by Type of Program Coordination of Special Education and Other Compliance Monitoring Impact of Monitoring on Programs Factors Affecting Effectiveness of Monitoring
Technical Assistance and In-Service Training	Types of Staff/Organizations Primarily Involved in Various Activities

TABLE I.2 (continued)

Data Category	Specific Data Element
Use of Separate Facilities	Operating Agency Number of Facilities, Day and Residential Number of Students Primary Handicapping Conditions of Students Provider of Special Education to Students in Other State-Operated Separate Facilities Number of Students Placed Out of State
Impact of Other Organizations on Separate Facilities	Impact of State Legislation, Court Decisions, Advocacy or Professional Organizations on Placements at Separate Facilities Impact of State Legislation, Court Decisions, Advocacy or Professional Organizations on Improvements at Separate Facilities

Department's Eighth Annual Report and Ninth Annual Report to Congress on the Implementation of the Education of All Handicapped Act (1986 and 1987)), States which placed either a relatively large or small proportion of students in these facilities were identified as potentially eligible for case study, as were States which had substantially changed their placement patterns since P.L. 94-142 was passed.

Recommendations of experts in the field were also solicited to identify States where SEA procedures, interagency relationships, court decisions, or advocacy group actions were likely to have influenced educational practices in day and residential facilities. The selection process and the States selected are discussed below. Further detail is given in Technical Appendix III.A.

Placement Patterns. Three analyses were performed to provide a list of potential case study States:

1. Examination of ranking of States[5] in terms of current (1983-84) use of separate facilities for all handicapped students
2. Examination of ranking of States in terms of change (1976-77 to 1983-84) in use of separate facilities for all handicapped students[6]

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[5] All analyses included data on the 50 States and the District of Columbia.

[6] It is important to note that the State-reported placement data show considerable fluctuation from year to year in the numbers of students classified with particular handicapping conditions. In particular, there often appears to be a dramatic decrease in the number of students with mental retardation over a short period of time. There are a number of possible reasons for such changes, including definitional changes and changes in reporting or classification procedures. For whatever reason, these fluctuations may make it difficult to precisely measure changes in use of separate facilities, if the classification of students placed at separate facilities is more stble than those placed in other settings. For example, it is possible that students placed in separate facilities for mental retardation continue to be classified as mentally retarded, while students served in local public schools are more likely to be reclassified from mental retardation to learning disabilities or other conditions.

3. Examination of rankings of States in terms of 1984-85 use of separate day facilities for mentally retarded/multiply handicapped, emotionally disturbed, or sensory impaired children[7]

The first two analyses examined the extent to which States served handicapped children in settings other than the regular school environment (i.e., in separate schools and other environments) during the 1983-84 school year and the extent to which State placement patterns had changed from 1976-77 to 1983-84. (The 1983-84 data were the latest available data at the time these analyses were performed.) Table I.3 lists States identified as "high" or "low" from the analyses of the OSEP State-reported placement data from 1983-84.

Four States were identified as relatively high users of separate facilities during the 1983-84 school year in all analyses with respect to school age students (6-17 year olds). (This age group is of particular interest since over 90 percent of the children receiving special education fall into this category and because States are similar to one another in the provision of services for this population.) These States include Connecticut, Delaware, Maryland, and New York. States showing relatively low use of separate settings and relatively large decreases in the use of such settings since the 1976-77 school year did not show the same consistency across States

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[7] These three handicap groupings were selected based on analyses of placement data (see Technical Appendix III.A) which identified children with these handicaps as the most likely to be served in separate facilities. The problems of interpretation of these data associated with fluctuations in the numbers of students classified in these groups, particularly in mental retardation, noted in the above footnote, also apply to these analyses.

TABLE I.3

STATES RATED AS "HIGH" OR "LOW" FOR USE OF SEPARATE SETTINGS DURING 1983-84 AND FOR CHANGES BETWEEN 1976-77 AND 1983-84 IN USE OF SEPARATE SETTINGS FOR HANDICAPPED STUDENTS

High	Low
Connecticut	California
Delaware	Colorado
Maryland	Georgia
New York	Massachusetts
	Michigan
	New Jersey[a]

Based on analyses of 1983-1984 placement data (see Technical Appendix III.A).

[a] While still a relatively high user of separate facilities, New Jersey had a large decrease in the number and proportion of students with handicaps served in separate facilities in the 1976-77 to 1983-84 period.

as among high use States. However, in the rankings of State programs for school-aged students, Colorado, Massachusetts, California, Georgia, and Michigan appeared in two of the three analyses. In addition to these States, New Jersey stood out particularly with respect to change since the implementation of P.L. 94-142. New Jersey's decrease of 14,000 school-aged handicapped students in separate facilities was second only to Massachusetts' decrease of 16,000.

The 1984-85 placement data reported by the States to the U.S. Department of Education in the Annual Data Reports, unlike that provided by the States for 1983-84 and previous school years, required that States provide counts of the numbers of students served in specific types of day and residential facilities (i.e., public day, public residential, private day, and private time of residential). Preliminary data from these State reports, available at the time of the study, were used to calculate the proportion of students served in each type of facility for each State for the three categories of handicapping conditions. The number of students served in private and public placements were combined to calculate these proportions. States were then ranked from high to low on these proportions and an average rank was calculated separately for day and residential placements. Table I.4 presents a list of States which had high average ranks for both day and residential facilities; low ranks for both types of facilities; low and high ranks for day and residential facilities, respectively; and high and low ranks for day and residential facilities, respectively

TABLE I.4

STATE PLACEMENT PATTERNS FOR MAJOR HANDICAP GROUPS FOR THE 1984-85 SCHOOL YEAR

High Use of Both Day and Residential Facilities

Connecticut

Maryland

Low Use of Day and High Use of Residential Facilities

Idaho

Kansas

Oklahoma

South Dakota

High Use of Day and Low Use of Residential Facilities

Delaware

Florida

Illinois

Minnesota

New Jersey

Pennsylvania

Low Use of Both Day and Residential Facilities

Georgia

Hawaii

Massachusetts

Michigan

South Carolina

Texas

Based on 1984-1985 placement data (see Technical Appendix III.A).

NOTE: Major handicap groups are mentally retarded/multiply handicapped, emotionally disturbed, and sensory impaired.

Expert Recommendations. To obtain qualitative information regarding factors likely to be related to State procedures and their impact on the instruction of children in day and residential facilities, individuals knowledgeable about State activities and facilities serving handicapped children were contacted. These individuals included representatives of the Division of Assistance to the States, Regional Resource Centers, State Departments of Education, professional associations, and advocacy groups.

b. Selection and Recruitment of States for Case Study

Based on the analysis of placement patterns and experts' recommendation, an initial set of eight States were proposed for case study:

- California
- Louisiana
- Georgia
- Illinois
- Maryland
- New Jersey
- New York
- Ohio

The director of special education in each selected State was mailed a letter outlining the study requirements and requesting participation, following circulation of a memorandum on the study from the Office of Special Education Programs to the directors of special education in all States.[8]

After State considerations regarding participation in the study were reviewed, a final set of case study States was developed, including:

- California
- Connecticut
- Florida
- Illinois
- Louisiana
- New Jersey
- Ohio
- South Carolina

Table I.5 provides summary information on the States participating in the case studies.

3. State-Level Case Study Protocol and Procedures

The State Director of Special Education in the selected case study States was contacted during the late spring and summer of 1987 and asked to designate a liaison staff person for the study. Initial contacts with the liaisons included requests for documentary materials. After reviewing the documentary material, the site visits and in-person discussions with SEA and other State agency staff were scheduled. The site visits began in June 1987 and were

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[8] The Chief State School Officers in the selected States were also sent an informational letter about the study.

TABLE I.5

SUMMARY INFORMATION ON STATES SELECTED FOR CASE STUDY

State	Total Population Size	1983-1985 Placement Patterns[a]	Distinctive Features of Special Education System	Region
Florida	Large	High use of separate facilities	Extensive use of interagency agreements; Department of Health and Rehabilitation Services operates separate facilities with education provided by LEAs; Little use of private facilities	South
Ohio	Large	Mid to high use of separate facilities[c]	Public day schools run by county boards of MR[b], State agencies operate educational programs in separate facilities; Little use of private facilities	Central
Illinois	Large	Mixed use of separate facilities[c]	Joint agreements operate separate facilities; State agencies operate educational programs in some facilities; Private facilities used	Central
California	Large	Low use of separate facilities	Regional and State agencies operate separate facilities; Private facilities used	West
Connecticut	Small	High use of separate facilities	Various State agencies and intermediate education agencies operate separate facilities; Private facilities used extensively	East

TABLE I.5 (continued)

State	Total Population Size	1983-1985 Placement Patterns[a]	Distinctive Features of Special Education System	Region
Louisiana	Small	Mid to high use of separate facilities	SEA operates educational component of programs in facilities operated by other State agencies; Private facilities used	South
New Jersey	Small	Mixed use of separate facilities[d]	Various intermediate and regional education agencies operate separate facilities; Private facilities used extensively; State agency (other than SEA) operates educational program	East
South Carolina	Small	Low use of separate facilities	State agencies operate educational program in separate facilities; Little use of private facilities	South

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[a] See Technical Appendix A.

[b] There has been a trend to transfer students from county programs to LEA programs.

[c] Pattern: high use of day facilities, middle range use of residential facilities for major handicap groups (mental retardation/multiple handicaps, sensory impairments, emotional disturbance).

[d] Pattern: high use of day facilities, low use of residential facilities for major handicap groups; also had a large decrease in number of school-aged and other handicapped students placed in separate facilities between 1976-77 and 1983-84.

completed in September 1987. A protocol package (outlined in detail in Technical Appendix III.B) was prepared to ensure that site analysts obtained the required information from each State. The package contained the topic-by-topic guide for reviewing State documents and holding discussions with State staff. It also contained instructions regarding activities each site analyst was to complete before, during, and after the site visit. Appended to the protocol were sample letters and other materials sent to the State directors and liaison staff prior to the site visit.

Persons in the following positions were generally identified from organizational charts and initial discussions with the State liaisons as appropriate respondents for the case study interviews:

- The Director of Special Education and others involved in policy setting for and the high-level management of special education programs in the State
- Unit supervisors or managers in areas such as monitoring, technical assistance, training, program development, funds disbursement and accounting, statistical compilation and analysis, and long-range planning and evaluation
- Staff involved with the development and implementation of the State's Comprehensive System of Personnel Development (CSPD)
- Staff involved in the planning, coordination, and delivery of technical assistance, in-service training, and information dissemination to LEAs and facilities
- SEA staff responsible for coordinating activities with other State agencies operating separate facilities for handicapped students through either formal interagency agreements or less formal working relationships
- Staff in other State agencies responsible for coordinating activities with the SEA in the operation, licensing/accreditation, or monitoring of separate facilities for handicapped students operated by these other State agencies

Prior to the site visit, site analysts reviewed available documentary information, which could include:

- State statutes and regulations applicable to special education
- Historical summaries of special education policy, legislation, and practice in the State
- SEA and Division of Special Education organizational charts and directory of positions and units
- Annual data reports
- State plans and supporting documents
- SEA monitoring instruments and procedural manuals
- SEA special education publications and distribution lists
- Agendas and reports from SEA conferences, workshops, or seminars on special education
- Interagency agreements
- SEA application forms and procedures for facility approval or certification
- Schedules, agendas, and attendance rosters for SEA in-service training and technical assistance activities
- Census and other aggregate statistics on each State

This review identified information gaps and State-specific events or practices to be explored during interviews. Site analysts also obtained copies of additional documentary materials during the site visit for later review.

Initial analyses of the State-level Case Study data, based on the site analyst notes, were used to develop the facility-level case studies and the survey of SEA divisions of special education. Preliminary analysis of the State case study data and plans for the facility case studies were completed by the end of 1987. The data needs and questionnaire for the survey of all State divisions or offices of special education were developed during the early months of 1988 and the survey was conducted between July and December of that year.

Individual State reports, drafted by the site analysts and circulated among other study staff for review and comment, were completed by early 1988. A revised draft report was then sent to the State director of special education in each case study State. The State site reports underwent another round of revisions based on comments from the States and were then available for final analysis.

C. DESIGN OF THE FACILITY-LEVEL DATA COLLECTION EFFORT

The Facility-level components of the study were designed:

- To provide national data on current characteristics (such as those of the student population, staff, and programming) for the broad range of separate facilities providing special education services to students with handicaps, and to estimate changes in these characteristics in the years after the implementation of P.L. 94-142
- To provide an in-depth description of changes in educational practices since the passage of P.L. 94-142 at different types of separate facilities
- To describe the influence of SEA procedures on changes in facility educational practice
- To describe the influence of other factors on changes in facility practices

The design of the Survey of Separate Facilities is described in detail in Volume II. It was designed to provide nationally representative data on the separate facilities in operation during the 1988-89 school year and to estimate changes in separate facilities from both retrospective reports and comparison with a previous survey conducted in 1978-79. The Facility-level Case Studies were designed to understand how instructional programs at separate facilities changed in response to SEA procedures and other factors including LEA and IEU practices. The case studies were not designed to directly assess whether changes in instructional practices provided better education for handicapped students or helped students learn and achieve more. However, underlying the case study effort is the basic assumption that instructional practices are linked to student outcomes.

1. Information Needs for the Facility Case Study Component

Information collected during the facility site visits focused on changes over the past ten years in the facility practices in the following areas:

- Staffing patterns (including qualifications, experience, duties--administrative, instructional, residential, related services)
- Staff development and in-service training (availability both in-house and from external sources, participation, content areas)
- Program and staff evaluation and identification of areas needing improvement
- Use of new methods of instruction or new curricula and development of new programs
- Student movement out of separate facilities and planning for transition
- Student integration opportunities (interaction with non-handicapped peers and others in the community and use of community programs and facilities)

- o Involvement of parents in program planning, review, and evaluation at the student and the facility level.

2. Selection of Facilities

The first step in the selection process was to identify the types of students with handicaps most often served in separate schools. To do this, the preliminary 1984-85 State-reported placement data were examined for the proportion of children with specific handicaps in four types of separate schools: private day, public day, private residential, and public residential. Detailed results of those analyses are included in Technical Appendix III.A. Based on these analyses, three handicapping conditions were selected as those most likely to be "overrepresented" among students enrolled in separate facilities compared to the prevalence among all students with handicaps: sensory handicaps (hard of hearing, deafness, and visually handicaps), emotional disturbance, and mental retardation and/or multiple handicaps. (The last category includes two conditions because the incidence of mental retardation is high among students with multiple handicaps and because these two groups are often served in the same facilities.)

A distinction by type of operator (private, State, and local) was also expected to predict SEA influence on facility practice. Further, while State-operated programs are generally residential, local public programs are generally day, and private facilities include both day and residential programs. Therefore, any selection of facilities across the three operator categories would include both day and residential programs. (See Table I.6, which presents estimates of the population of separate facilities distributed

TABLE I.6

ESTIMATES OF NUMBER OF SEPARATE FACILITIES IN NATION, BY OPERATOR, TYPE OF PROGRAM AND PRIMARY HANDICAPPING CONDITION SERVED

Primary Handicapping Condition Served[a]	Day			Residential		
	Operated by a State Agency	Operated by a Local or Regional Public Agency	Operated by a Private Organization	Operated by a State Agency	Operated by a Local or Regional Public Agency	Operated by a Private Organization
Mental Retardation or Multiple Handicaps	88	867	412	174	56	219
Emotional Disturbances	34	267	314	89	35	515
Sensory Impairments	*	*	20	59	*	22
Other	53	217	345	*	*	64

SOURCE: Survey of Separate Facilities conducted in 1988 as part of this study. See Volume II, Part One, Chapter I.

[a] The primary handicapping condition of the majority of students served by the facility.

*Indicates cells where coefficient of variation is greater than .30, that is, conventional standards indicate that estimates are insufficiently precise to be interpreted.

across these categories, based on data from the Survey of Separate Facilities.) Therefore, the final typology for facility selection was based on type of operator defined in three categories (private, State, and local public) and primary handicap served (mental retardation/multiple handicaps, emotional disturbance, and sensory impairment).

Table I.7 summarizes the State-by-State selection of facilities for intensive case study. Several points can be noted about this distribution of case study facilities:

- Three facilities were selected in each of the eight case study States for a total of 24 facilities. Under this plan, 9 State-operated facilities, 10 facilities operated by LEAs, IEUs, or regional or county agencies, and 5 private facilities were selected.
- Of the facilities selected, half were residential and half operated day programs only.
- The 24 facilities were distributed so that 10 visits were conducted at facilities for mentally retarded students, 10 at facilities for emotionally disturbed students, and 4 at facilities for sensory impaired students.[9]
- Within the State-operated facilities for sensory impaired children selected for study, two are operated by the SEA and two as independent State agencies. Also, two facilities serve both hearing impaired and visually impaired students, while one facility serves only visually impaired students and the remaining facility serves only hearing impaired students.

Potential candidates for case study facilities matching the selection criteria were selected from among respondents to the pilot survey of facilities

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[9] Because there are relatively few separate facilities for sensory impaired students operated by local education agencies or private organizations, no such facilities were selected for the case study.

TABLE I.7

DISTRIBUTION OF SEPARATE FACILITIES SELECTED FOR CASE STUDY

Primary Handicap Group Served	Type of Operator				TOTAL NUMBER OF FACILITIES
	State Agency (SEA or Other)	Local Agency (LEA or IEU)		Private Organization	
Mentally Retarded/ Multiply Handicapped	6 7 2	6 3 7	2 5	7 3	10
Sensory Impaired	6 3 1 5	----------		--	4 (3 HI programs, 3 VI programs)
Emotionally Disturbed	4 8	4 8 1	2 5	4 8 1	10
TOTAL NUMBER OF FACILITIES	9	10		5	24

State Codes: To preserve anonymity of facilities, States are identified by number (1 through 8) in this table.

Handicap Codes:
HI = hearing impaired
VI = visually impaired

conducted concurrently with the State site visits. Where no pilot survey respondents were available having the necessary characteristics, nominations were solicited from the State Directors or their designated liaison. It is possible that facilities selected from this pool of respondents and nominees would be more interested in the study, on better terms with their respective SEA, and perhaps more optimistic about the changes in the special education system than other facilities. However, the results do not suggest that the case study facilities overestimated changes or the role of the SEA in influencing those changes.

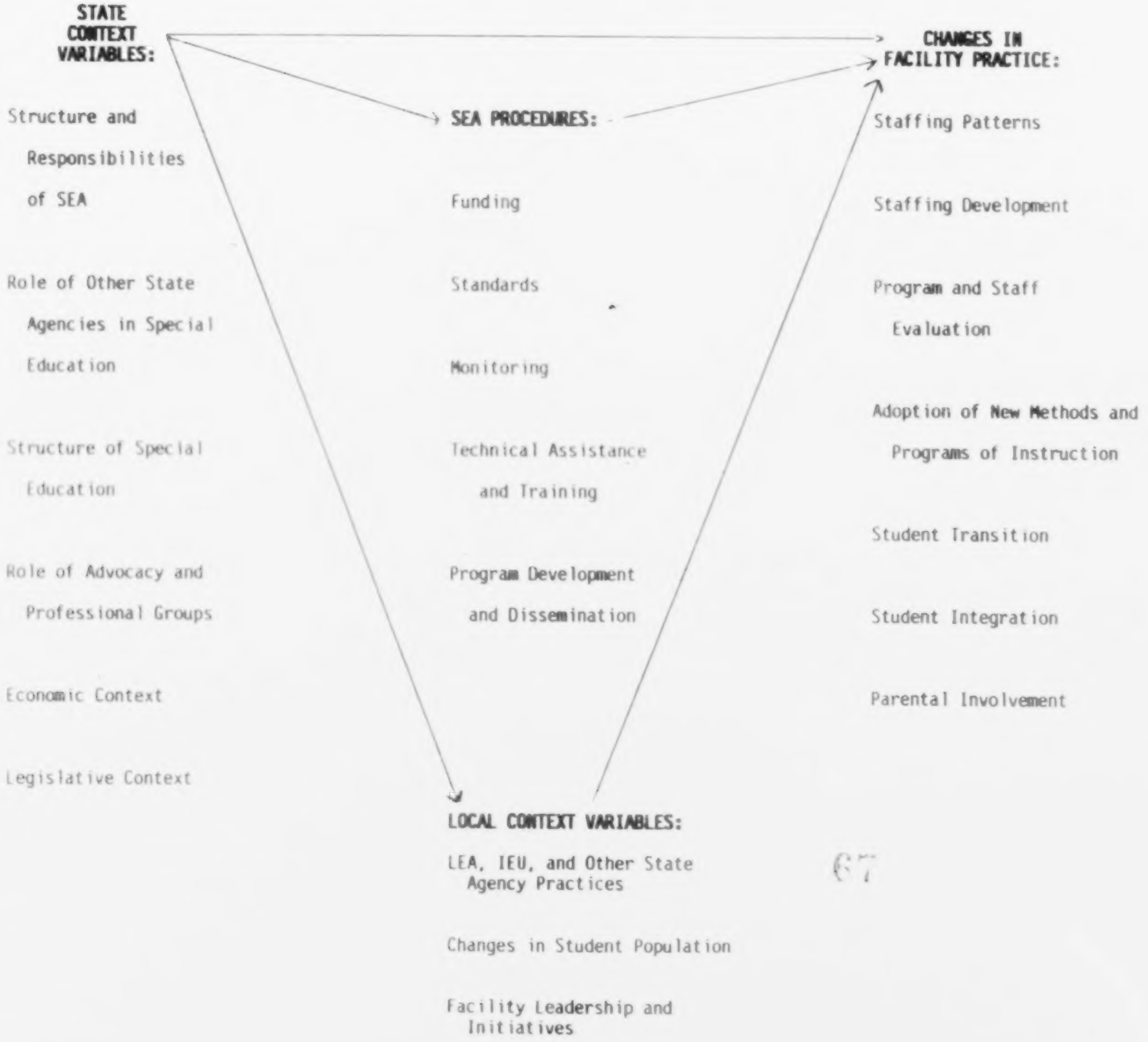
3. Facility-Level Case Study Protocol and Procedures

Selected facilities were contacted regarding participation in the early months of 1988. Only two of the selected facilities declined to participate and were replaced. Site visits to facilities began in March of 1988 and were completed in June of that year. Site visits at participating facilities included interviews with facility staff and staff at local education agencies and State agencies involved with the facilities. Site analysts used a detailed outline or case study protocol to guide the interviews and the collection of documentary information while on site. The site visit protocol is described in more detail in Technical Appendix III.D.

Figure I.2 is a schematic diagram of the hypothesized "model" relating SEA procedures and other factors to changes in facility educational practice. This diagram served as a heuristic aid for developing questions for the facility protocol. It was also used during the Facility-level Case Study interviews with facility and local education agency staff.

FIGURE I.2

DIAGRAM OF HYPOTHESIZED "MODEL" OF EFFECTS ON SEPARATE FACILITIES



STATE CONTEXT VARIABLES:

- Structure and Responsibilities of SEA
- Role of Other State Agencies in Special Education
- Structure of Special Education
- Role of Advocacy and Professional Groups
- Economic Context
- Legislative Context

SEA PROCEDURES:

- Funding
- Standards
- Monitoring
- Technical Assistance and Training
- Program Development and Dissemination

CHANGES IN FACILITY PRACTICE:

- Staffing Patterns
- Staffing Development
- Program and Staff Evaluation
- Adoption of New Methods and Programs of Instruction
- Student Transition
- Student Integration
- Parental Involvement

LOCAL CONTEXT VARIABLES:

- LEA, IEU, and Other State Agency Practices
- Changes in Student Population
- Facility Leadership and Initiatives

Facility respondents were asked to report on current practices and changes in practice since 1975 and on the factors affecting both current practices and changes in practice. While the main focus of the study was on the effects of SEA procedures on these changes at the facility, facility respondents were also asked how LEA, IEU, and other State agency procedures or practices may have affected the facility. Further, changes in the student population (in numbers, age distribution, handicapping condition, and severity of impairment) and the facility's own leadership were also probed as to their influence on changes in instructional practices at the facility. The remainder of Part One of this volume provides information on the States selected for case study, in particular, their economic and educational context, the various elements of their special education systems, and the structure of the division, office, or bureau within the SEA responsible for special education. Part Two of this volume then describes in detail the various SEA procedures--funding, standards, monitoring, technical assistance, in-service training, program development, and dissemination--that have potential influence on educational practice at separate facilities for students with handicaps, drawing upon information from the State-level Case Study as well as data from the Survey of SEA Special Education Divisions. Part Three draws upon the Survey of Separate Facilities and the Facility-level Case Study to describe how facility practice has changed in the areas of programs and methods of instruction, staffing, student transition integration, and parental involvement--and how these changes are related to SEA procedures as well as to other factors.

II. STATE ECONOMIC AND EDUCATIONAL CONTEXT

An analysis of how State education agency procedures affect educational programs in separate facilities requires an understanding of the broader context within which these facilities and the State education agencies currently operate. The ability to make significant efforts to improve educational programs is at least partially affected by availability of State and local funding for such efforts. The pattern of special education service delivery as it exists today in a State has also been influenced by the number of students with handicaps served, the entitlement age ranges for services, expenditures for education over the years, State special education and general education legislation, and the impact of interest groups, the courts, and other State agencies providing education.

In this chapter, indicators of economic health in the case study States during the years after the passage of P.L. 94-142 are presented. This is followed by a discussion of several education indicators for each State including changes in the school-age population, the number and proportion of students served as handicapped, and the entitlement age ranges for special education services. Also included is a description of legislative actions related to special education as well as general educational reform, and a brief discussion of the actions of advocacy groups and the courts affecting separate facilities for the handicapped. The next chapter provides information on the structure of special education as it currently exists in the case study States.

A. ECONOMIC CONTEXT

To assess economic conditions in the States and their impact on education, two economic indicators are examined: per capita income and per pupil expenditures for education. In 1986, per capita income among the case study States was highest in Connecticut ($19,600) and New Jersey ($18,626) and lowest in South Carolina ($11,299) and Louisiana ($11,193). (See Table II.1.) When compared to 1977, Connecticut and New Jersey experienced the greatest increase in per capita income as a proportion of the national per capita income. Louisiana with its oil-based economy had experienced the greatest loss during this period when measured on the same criterion, although Ohio and Illinois also lost some ground.

Compared to national per pupil expenditures for education in the 1984-85 school year, South Carolina and Louisiana were substantially lower than the national average while Connecticut and New Jersey were substantially higher. Per pupil expenditures for education increased between 1981-82 and 1984-85 in Connecticut (32.3 percent), South Carolina (29.9 percent), Florida (18.1 percent), and Ohio (17.3 percent). These four States also increased their standing relative to the national average per pupil expenditures, particularly Connecticut. The remaining four states (California, Illinois, Louisiana, and New Jersey) lost ground compared to the national average in the same period, although New Jersey's per pupil expenditures still remain substantially above the national average. (See Table II.2.) Based on State-reported data, expenditures for special education and related services in 1984-85 were highest in Illinois ($4,980 per child) and Ohio ($4,704 per child) and lowest in South Carolina ($1,429 per child) and Louisiana ($3,005 per child). (See Table II.3.)

TABLE II.1

PER CAPITA PERSONAL INCOME
(In Dollars)

State	1977		1980		1983		1986		Change 1977-1986	
	Per Capita Personal Income	Percent of National Average	Per Capita Personal Income	Percent of National Average	Per Capita Personal Income	Percent of National Average	Per Capita Personal Income	Percent of National Average	Per Capita Personal Income	Percent of National Average
California	8,373	114.79	11,603	116.98	13,927	115.12	16,904	115.46	+ 8,531	+0.67
Connecticut	8,563	117.40	12,110	122.09	15,445	127.67	19,600	133.87	+11,037	+16.47
Florida	6,907	94.69	9,765	98.45	12,147	100.41	14,646	100.03	+ 7,739	+5.34
Illinois	8,292	113.68	10,840	109.29	12,891	106.55	15,586	106.45	+ 7,294	-7.23
Louisiana	6,049	82.93	8,682	87.53	10,458	86.44	11,193	76.45	+ 5,144	-6.48
New Jersey	8,348	114.45	11,579	116.74	14,894	123.11	18,626	127.22	+10,278	+12.77
Ohio	7,341	100.64	9,723	98.02	11,563	95.58	13,933	95.16	+ 6,592	-5.48
South Carolina	5,563	76.27	7,587	76.49	9,328	77.10	11,299	77.17	+ 5,736	+0.90
Nation	7,294	---	9,919	---	12,098	--	14,641	--	+ 7,347	--

SOURCE: U.S. Bureau of Economic Analysis, Survey of Current Business.

Amount = Per capita personal income (in dollars).

Percent of National Average = Per capita personal income as a percentage of nationwide per capita personal income for that year.

TABLE II.2

EDUCATION EXPENDITURES PER PUPIL
(In Constant 1985-86 Dollars)

	1981-82		1984-85		1981-82 to 1984-85	
State	Amount	Percent of National Expenditures	Amount	Percent of National Expenditures	Change in Amount	Change in Percent of National Expenditures
California	3,088	97.9	3,350	93.81	+262	-4.16
Connecticut	3,686	116.94	4,876	136.54	+1,193	+19.60
Florida	2,825	89.63	3,335	93.39	+510	+3.76
Illinois	3,395	107.71	3,641	101.96	+246	-5.75
Louisiana	2,994	94.99	3,077	86.17	+83	-8.82
New Jersey	4,248	134.77	4,634	129.77	+386	-5.00
Ohio	2,881	91.40	3,380	94.65	+499	+3.25
South Carolina	2,205	69.96	2,864	80.20	+659	+10.24
Nation	3,571	--	3,152	--	+419	--

SOURCE: U.S. Bureau of Economic Analysis, Survey of Current Business.

Amount = Education expenditures per pupil (in constant 1985-86 dollars).

Percent of National Expenditures = Education expenditures per pupil as a percentage of nationwide education expenditures per pupil for that year.

TABLE II.3

PER CAPITA EXPENDITURES FOR SPECIAL EDUCATION AND RELATED SERVICES 1984-85 SCHOOL YEAR (In Dollars)

State	Local	State	Federal	Total	% of National Median
California	281	2,779	240	3,300	126.87
Connecticut	2,039	1,623	197	3,859	148.37
Florida	913	1,905	202	3,020	116.11
Illinois	2,508	2,101	372	4,980	191.46
Louisiana	552	2,274	179	3,005	115.53
New Jersey	1,416	2,334	259	4,009	154.13
Ohio	1,531	2,908	265	4,704	180.85
South Carolina	357	831	240	1,429	54.94
Median of All States and DC	775	1,568	258	2,601	--

SOURCE: U.S. Department of Education, 1989.

Economic conditions in the case study States differed substantially from one another in the post-P.L. 94-142 period. During that time, Connecticut and Florida increased more in both per capita income and educational expenditures per pupil than did the other six States. Conversely, Louisiana and Illinois experienced greater declines on those indicators of economic well-being than did the other States. However, current figures indicate that Connecticut, New Jersey, and Illinois remain high in per capita income and per pupil expenditures.

Among the States visited, general economic trends were reported by State officials to have influenced the ability of State education officials to affect change in separate facilities. In Louisiana, and to a lesser extent, in Illinois and Ohio, worsening economic conditions were reported to have made it difficult for the States to undertake significant education initiatives. However, case study respondents in those States noted that economic difficulties had in some cases improved interagency cooperation in the provision of services to handicapped students. New Jersey and Connecticut, on the other hand, have been experiencing economic growth and development which are more conducive to programs of educational improvements. However, as case-study respondents across the States noted, special education has not always benefited as might be expected, since general education reform has meant that monies sometimes have been concentrated on those initiatives.

B. STUDENT POPULATION

Since the population of students to be served determines the provision of special education in any State, the size of the population age 0 through 21, the number of handicapped students served, and State entitlement age ranges are the basic parameters determining the number of students served in the special education system as a whole.

In six of the eight States under study, the resident population aged 3 through 21 has declined since 1976-77. (See Table II.4.) Only in California and Florida have these populations increased, in California by approximately 4 percent and in Florida by approximately 11 percent. While not all persons in this age range are in the educational system, case study respondents in States with increases noted that this factor puts classroom space at a premium for all programs, both regular and special education. In Connecticut, Illinois, New Jersey, and Ohio the population aged 3 through 21 declined by 14 percent or more; in Louisiana the population declined slightly as was true of South Carolina.

The case study States served more handicapped students as a fraction of their populations in 1986-87 than they had in 1976-77. (See Table II.5.) Currently between 5.2 percent and 8.6 percent of these States' 3 through 21 year old populations are served as handicapped. This compares with the national rate of 6.5 percent. Louisiana and California served the fewest students proportionately while Connecticut and New Jersey served the most students proportionately. These differences are related to, although not perfectly correlated with, the varied entitlement age ranges of these States. At the time of this study California and Louisiana provided special education services to children from birth to 21 years of age, which results in a lower ratio of total handicapped students served to the resident population age 3 through 21. (See Table II.6.)

TABLE II.4

ESTIMATED RESIDENT POPULATION
AGE 3 THROUGH 21

(In Thousands)

State	Population			Percent Change in Population	
	1976-77	1985-86	1986-87	1976-77 to 1986-87	1985-86 to 1986-87
California	7,092	7,200	7,366	3.86	2.31
Connecticut	1,021	844	833	-18.41	-1.30
Florida	2,525	2,757	2,810	11.29	1.92
Illinois	3,802	3,316	3,255	-14.39	-1.84
Louisiana	1,444	1,427	1,414	-2.08	-0.91
New Jersey	2,398	2,063	2,010	-16.18	-2.57
Ohio	3,687	3,105	3,059	-17.03	-1.48
South Carolina	1,035	1,014	1,019	-1.55	0.49
Nation	72,782	67,877	67,558	-0.07	0.005

SOURCE: U.S. Department of Commerce, Bureau of the Census, unpublished data.

NOTE: Not all members of the resident population age 3 through 21 are enrolled in educational programs.

TABLE II.5

NUMBER OF CHILDREN SERVED AS HANDICAPPED AND TOTAL RESIDENT POPULATION AGE 3 THROUGH 21

1976-77 and 1986-87

State	1976-77 Children Served as Handicapped	1976-77 Resident Population	1976-77 Handicapped Students Served as a Percent of Resident Population Age 3-21	1986-87 Children Served as Handicapped	1986-87 Resident Population	1986-87 Handicapped Students Served as a Percent of Resident Population Age 3-21
California	332,291	7,092,000	4.69	391,217	7,366,000	5.31
Connecticut	62,085	1,021,000	6.08	64,758	833,000	7.77
Florida	117,257	2,525,000	4.64	181,651	2,810,000	6.46
Illinois	229,797	3,802,000	6.04	248,169	3,255,000	7.62
Louisiana	86,989	1,444,000	6.02	73,852	1,414,000	5.22
New Jersey	145,077	2,398,000	6.05	172,018	2,010,000	8.56
Ohio	166,101[a]	3,687,000	4.51	199,211	3,059,000	6.51
South Carolina	72,357	1,035,000	6.99	73,299	1,019,000	7.19
Nation	3,703,033	72,782,000	5.08	4,421,601	67,558,000	6.50

SOURCE: U.S. Department of Education, 1979 and 1988.

NOTE: Number of children served as handicapped was reported by the States to the U.S. Department of Education as of December 1st of each year.

[a] Amended report dated 3/23/77.

TABLE II.6

ENTITLEMENT AGE RANGES FOR SPECIAL EDUCATION

State	Age Range
California	0 through 21
Connecticut	3 through 21
Florida	3 through 21[a]
Illinois	3 through 20[b]
Louisiana	0 through 21
New Jersey	3 through 21
Ohio	5 through 21
South Carolina	5 through 21[c]

SOURCE: U.S. Department of Education, Division of Assistance to the States, January 1988.

[a] From birth for children with visual, hearing, or physical handicaps or who are trainable or profoundly mentally handicapped. Some districts provide services through age 18.

[b] Includes also the period from 21st birthday to end of same school year including the following summer term if designated in an IEP.

[c] Includes also 4 year old visually impaired and hearing impaired children.

C. EDUCATIONAL CONTEXT

This section includes a description of special education legislation in the case study States, particularly as it applies to separate facilities for handicapped students. It also includes a brief description of the impact of advocacy group activity and litigation on separate facilities. This section is introduced by a discussion of the general education reform movements in the case study States.

1. General Education Reform

As with States across the nation (see Bodner, Clark, and Mellard, 1987), the case study States had implemented notable reforms in education since the 1980's. Most of the reforms did not specifically address special education nor separate facilities for handicapped students; in fact, in several States, the populations of these facilities have been exempted from change. For example, students with severe handicaps are frequently exempted from testing programs or are awarded special rather than regular diplomas. However, the full impact of general education reform movements on special education and on separate facilities for handicapped students has yet to be determined, as States work to implement these reforms.

The following is a brief description of the main provisions of general education reform in each case study State:

- California passed the Hughes-Hart Educational Reform Act in 1983 which set Statewide graduation requirements, strengthened the State's discipline code, devoted more monies to textbooks, increased funding for schools, raised teacher standards, and set up a Statewide accountability program.

- In 1986 Connecticut passed its Educational Enhancement Act which, in addition to establishing accountability provisions, also increased teacher salaries and certification, inservice, and preservice requirements.

- Florida enacted RAISE (Raising Achievement in Secondary Education) in 1982 which established curriculum standards and graduation requirements for all education programs.

- Illinois passed its Educational Reform Act in 1985 which defined course requirements, specified a set of knowledge and skills necessary for students to master, increased standards for education personnel, and created a student assessment process through proficiency testing.

- Louisiana established alternative programs for students having problems in school and enacted the Louisiana Quality of Education Act in 1985 which funds new and innovative educational programs. The State also created a Statewide testing program which has yet to be implemented.

- In New Jersey, the Governor created a reform agenda in 1983 called the Blueprint for Excellence which raised minimum teacher salaries, upgraded certification requirements, upgraded the State's basic skills test, and upgraded high school graduation requirements.

- In 1983, Ohio established new minimum standards for all chartered schools, in such areas as educational programming, length of school day, student-teacher ratios, staff development, and staff certification.

- In 1985 South Carolina's Educational Improvement Act created a system of accountability in education. It requires the availability of compensatory and remedial services for all students, an exit exam for graduation, procedures for expulsion and suspension, due process, and lengthening of the school day.

2. Special Education Legislation

With the exception of Louisiana, all of the case study States had a mandatory special education law covering some handicapped students prior to the passage of P.L. 94-142. Moreover, the period following the passage of the Act was a period of legislative and regulatory activity as the States attempted to conform with all the mandates of the new Federal legislation. This period also saw specific actions taken in most of the States to assure that students in separate facilities, particularly in those operated by other State agencies, were being served in accordance with the Federal mandate.

All States have statutes specifically dealing with the provision of special education services to handicapped students. The statutes generally define eligibility for special education services, set up funding mechanisms, provide for the formation of intermediate educational units or other consortion of local districts in service delivery, and define SEA authority over facilities operated by other State agencies. The most important impacts of such statutes for separate facilities have been on placement decisions and funding of placements in separate facilities.

California. Between 1975 and 1980, California implemented the California Master Plan for Special Education which completely revamped special education programs and legislation. The major changes were a movement from categorical to non-categorical programming and revisions in the funding formula; the SELPA concept, a regionalization of services, was also developed at this time. Some provisions of this legislation have resulted in decreased use of separate facilities.

Before implementation of the Master Plan, counties had a mandate to serve the most severely handicapped students from small districts; they also had taxing authority for construction of facilities, providing an incentive for separate "isolated" schools. Under the Master Plan, counties were no longer required to serve these students because of the regionalization of districts, but many counties continued to do so in their separate facilities; all new construction had to be approved by the State, and requests had to be accompanied by counts of students as justification. In 1986, legislation was enacted prohibiting construction of self-contained facilities for the handicapped and requiring that new facility construction be designed and located on regular school sites to maximize interaction between handicapped and nonhandicapped students. In 1986, legislation was also enacted requiring the State special schools to charge sending districts 10 percent of the cost of a student's program; previously, districts could send students at no charge.

Connecticut. In 1967, a universal State mandate was passed for all handicapped children. The legislation gave school districts the responsibility for educating handicapped students then served in separate facilities for the deaf, blind, and mentally retarded. This occurred simultaneously with the deinstitutionalization movement in the State. In 1977, the State created a policy on legal and fiscal responsibility for students in medical or psychiatric care facilities noting that these students are the educational responsibility of their home school district.

The State issued several policy statements between 1980 and 1984 clarifying issues related to the placement of students in separate facilities for the handicapped. First, the State specified placement options and placed time limits on the number of years students could be served in private and out-of-State placements (3 and 2 years respectively); thereafter, annual approval was required. Second, the State clarified the relationship between the entity making placements in residential facilities and the reason for this placement, maintaining that if an educational entity made the placement it was to be presumed that the placement was made for educational reasons. Third, a memorandum of understanding with the Office for Civil Rights noted that if a school district places a student in a program other than its own, it had done so to carry out the requirement for a free, appropriate public education, and therefore it must accept full financial responsibility for the placement.

In the 1985-86 school year legislation became effective which required the State education agency to pay 100 percent of any special education costs borne by districts that were over five times the average per pupil cost in the district. The legislation, known as the excess cost grant, recognized the high costs of educating certain individual students, whether in district programs or out-of-district placements. When the legislation was first implemented, there was concern that it might encourage districts to place students in separate facilities. However, this is not believed to have been the result; an increase in the total amount of State funds paid to districts since the legislation was enacted was generally attributed by SEA staff to inflation affecting the costs of special education in general and increasing numbers of applications for reimbursement as district staff become familiar with the procedures.

Florida. Between 1968 and 1973 the mandate in Florida to serve students who had previously not been included in the public education system (the largest proportion of whom were trainable mentally handicapped students) was reported to have encouraged construction of separate schools by districts. Thirty five separate centers were built with general capital outlay State funding. Since 1973 State policy has generally discouraged the use of separate facilities.

Two major changes in Florida's special education system were legislated in 1979; full incorporation of the profoundly handicapped into the education system, and assumption of responsibility for the education of children in State-operated facilities by local public schools.

In 1982, Florida's RAISE legislation on general education reform set specific standards and graduation requirements for all education programs; curriculum frameworks and standards specific to special education have been developed based on the RAISE requirements.

Illinois. Special education became mandatory in Illinois in 1965, and the schools became responsible for serving students they had not previously been required to serve. Legislation, rewritten in 1978 in response to P.L. 94-142, addressed special education costs for children attending private schools, public out-of-State schools or private special education facilities and created the Governor's Purchased Care Review Board. A section of this legislation also states that the resident school district is responsible for the costs of tuition and related services, partially reimbursed by the State according to a specific funding formula, when the full continuum of services provided by the district can be shown to be inadequate to meet the needs of the child due to his or her handicapping condition and the school or facility is in compliance with the rules and regulations of the State Superintendent.

Louisiana. Louisiana's special education law, the Exceptional Children's Act, was passed in 1977. It provides for services for three to 21 year olds with services permitted for students less than three years old who have severe problems which would be compounded if service were not provided before they reached school age. This law provided for the establishment of the Special

School District #1 (SSD #1) to provide education services in facilities operated by other State agencies. It also outlined the State's funding formula for exceptional education.

New Jersey. In 1972, Chapter 212 of New Jersey's education law was passed providing for general and special education for all children. In 1979 the New Jersey State Assembly passed the State Facilities Education Act; it was designed to ensure that children in State facilities would receive the same educational opportunities as students in public schools. The Act repealed a 1972 statute which had created the Garden State School District, a State School district for institutions.

The State Facilities Education Act 1) provided State aid for the education of children in State facilities, 2) set up mechanisms for determining the district of residence for these children and for determining financial responsibility for the funding of their education, and 3) provided a stable financial base for these programs. In July 1980 the Department of Human Services set up an Office of Education, as required by the Act, which implements education programs for students in its facilities in compliance with both New Jersey education code and EHA.

In 1987 legislation went into effect to implement an actual cost funding system for private facilities for the handicapped, permitting private separate facilities to charge districts their actual allowable costs for educational services. As expected, this funding change was associated with increased costs for districts placing students in private facilities.

Ohio. In 1967, Ohio established a system of comprehensive, cradle-to-grave services for persons with moderate to profound mental retardation administered by County Boards of Mental Retardation composed of citizens with specific interest in mental retardation. The Boards were charged with developing, operating, and funding programs for children and adults. In 1972, the State universal special education law was passed; however, students with IQs under 50 remained the responsibility of the County Boards of Mental Retardation. In 1976 enactment of Ohio's amendment to establish conformity between Federal and Ohio special education law gave the State Board of Education sole responsibility for all programs of special education in Ohio. In 1977 the State Board of Education adopted a single set of standards for all special education programs and personnel; all institutional and County Board programs were also required to be chartered. However, the State departments of mental retardation and mental health retained control of operating and monitoring these same programs through already existing administrative structures. In 1985 special education unit funding and responsibility for monitoring of county board of MR/DD programs (but not State-operated facilities) was transferred to the Ohio Department of Education.

South Carolina. The State's mandatory special education law was passed in 1972; prior to this the State encouraged the creation of special education programs but did not mandate them.

The State's recent education reform legislation, the Education Improvement Act (EIA) of 1985, made two specific references to programs for the handicapped: a Continuum of Care and the funding of programs for the profoundly and trainable mentally handicapped. The State Board of Education contracts with the Continuum of Care system to provide services for severely emotionally disturbed students. The reform legislation also included the development of a formula to finance programs for the profoundly and trainable mentally retarded, resolving an issue raised by a 1978 opinion by the State Attorney General that the profoundly mentally handicapped were the responsibility of local school districts not the Department of Mental Retardation. However, funding for these students had not been included in the State's finance act.

3. Advocacy Group Action and Court Cases

Interest groups have played an influential role in local, State and Federal policymaking regarding the provision of education for students with handicaps. They have initiated court cases on behalf of particular handicapping populations and have focused attention on policies affecting where students receive special education and related services (Weiner and Hume, 1987). This section presents a description of the noteworthy court cases in the case study States related to placement in separate facilities and describes how State policymakers view the impact of advocacy groups on placements and improvements in separate facilities.

Court Cases. Five of the eight case study States had one or more court cases related to placement in separate facilities, while in South Carolina, Florida, and New Jersey there has not been a far reaching case on placements of students with handicaps in separate facilities. The major court cases in the other States generally focused on use of separate facilities, particularly residential facilities, operated by other State agencies. The outcomes of these cases had implications for placement decisions, the role of the LEA and SEA in making and monitoring placements, and funding of the costs of educational versus residential components of placements. In no case, was the court case specifically concerned with educational practice or programming at separate facilities.

Advocacy Group Activities. The States have felt conflicting pressures from advocacy groups interested in keeping separate facilities open with "adequate" funding and from advocacy groups fighting to close separate facilities to assure the least restrictive environment principle. In the survey of State divisions of special education, State staff were asked to assess the impact of various professional, interest, and advocacy groups on changes in placement in separate facilities and on improvements in educational services in separate facilities.

Parent-advocacy organizations were viewed as having a great deal of impact on changes in placements in separate facilities by State staffs in California and Louisiana; only in Florida were they seen to have had little or no impact. (See Table II.7.) Survey respondents in California and Louisiana also maintained that professional organizations had a notable impact on separate placements while staff in Connecticut and South Carolina believed they had at least some impact. However, no State reported unions or association of teachers or related services personnel having an impact on where students are placed. Leadership by individuals outside the SEA (such as individual parents, special education leaders, and facility administrators) was judged to have a great deal of influence on placement decisions by Illinois and California and some impact by New Jersey, Ohio, Connecticut, and Louisiana.

TABLE II.7

IMPACT OF GROUPS ON CHANGES IN PLACEMENTS IN SEPARATE FACILITIES, AS REPORTED BY SEA SPECIAL EDUCATION DIVISIONS

	Parent Advocacy Organizations	Professional Associations	Unions or Associations of Teachers or Related Services Professionals	Leadership of Individuals Outside SEA
California	Great Deal	Great Deal	Little/None	Great Deal
Connecticut	Some	Some	Little/None	Some
Florida	Little/None	Little/None	Little/None	Little/None
Illinois	Some	Little/None	Little/None	Great Deal
Louisiana	Great Deal	Great Deal	Little/None	Some
New Jersey	Some	Little/None	Little/None	Some
Ohio	Some	Little/None	Little/None	Some
South Carolina	Some	Some	Little/None	Little/None
Average of all States[a]	2.3	1.7	1.1	1.8

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 as part of this study. The District of Columbia and all States except Hawaii responded to the survey.

[a] Little/None = 1
Some = 2
Great Deal = 3

Parent advocacy groups were reported to substantially influence improvements in separate facilities in Florida and California; for example, in Florida parent advocacy groups were influential in generating State funding for the construction of new facilities for trainable mentally handicapped students, to replace buildings not designed for special education programs. Only New Jersey saw parents groups as having little or no influence. (See Table II.8.) The impact of professional associations was judged to be slight in New Jersey and Ohio, great in Louisiana and California, and moderate in the other case study States. All States viewed unions or associations of teachers or related services personnel as having little or no impact on improvements in separate facilities. Leadership by individuals outside the SEA had a great deal of impact on educational improvements in separate facilities according to State staff in California and Illinois and some impact was reported by staff in Connecticut, Louisiana, and New Jersey. New Jersey and Connecticut also held that SEA personnel had a great deal of influence on the improvement of services in separate facilities.

To summarize, unions or associations of teachers or related services personnel were generally viewed as not influential in making changes at separate facilities by respondents in the case study States. This was true for both placement decisions and program improvements. Parent advocacy groups and other individuals or agencies were seen as the most effective groups in influencing changes in separate facilities. Individual leadership within the State was also recognized as a factor affecting separate facilities.

TABLE II.8

IMPACT OF GROUPS ON IMPROVEMENTS IN SEPARATE FACILITIES,
AS REPORTED BY SEA SPECIAL EDUCATION DIVISIONS

	Parent Advocacy Organizations	Professional Associations	Unions or Associations of Teachers or Related Services Professionals	Leadership of Individuals Outside SEA
California	Great Deal	Great Deal	Little/None	Great Deal
Connecticut	Some	Some	Little/None	Some
Florida	Great Deal	Some	Little/None	Little/None
Illinois	Some	Some	Little/None	Great Deal
Louisiana	Some	Great Deal	Little/None	Some
New Jersey	Little/None	Little/None	Little/None	Some
Ohio	Some	Little/None	Little/None	Do Not Know
South Carolina	Some	Some	Little/None	Little/None
Average of all States[a]	2.2	1.7	1.2	1.8

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 as part of this study. The District of Columbia and all States except Hawaii responded to the survey.

[a] Little/None = 1
Some = 2
Great Deal = 3

D. SUMMARY

This chapter has examined how the case study States vary on several dimensions of their economic and educational context. Some dimensions, such as general economic climate and educational reform policies, may have only an indirect impact on separate facilities. Others, however, (including State legislation, court actions, and advocacy group efforts) have specifically addressed the role of separate facilities in the special education system.

Since the enactment of P.L. 94-142, all the case study States have passed legislation to expand special education services to all students with handicaps and to strengthen the State education agency's authority over all special education programs, particularly those at State-operated facilities. More recently, all States have implemented some type of education reform policies as well, although these generally do not directly apply to special education programs or facilities. Most States have experienced litigation related to the placement of students in separate facilities, and State special education staff in most States agreed that parent advocacy groups, professional associations, and/or individual leaders outside the State educational system have made important contributions to changes in placement patterns and improvements in programming at separate facilities.

The dimensions on which the case study States differ most prominently are general economic climate and population growth. (See Table II.9.) SEA staff in States experiencing substantial economic growth or that currently enjoy relative prosperity were more optimistic about availability of resources to foster and support improvements in special education programs and services at

TABLE II.9

DISTRIBUTION OF CASE STUDY STATES
ON ECONOMIC AND STUDENT POPULATION CHARACTERISTICS

State	Per Capita Income	Change in Per Capita Income	Expenditure for Education	Change in School-Age Population	Proportion School-Aged Population Served as Handicapped
California	Above Average	Above Average	Average	Increase	Below Average
Connecticut	Substantially Above Average	Substantially Above Average	Substantially Above Average	Decrease	Above Average
Florida	Average	Above Average	Average	Increase	Average
Illinois	Average	Average	Average	Decrease	Above Average
Louisiana	Below Average	Below Average	Below Average	Small Decrease	Below Average
New Jersey	Substantially Above Average	Substantially Above Average	Substantially Above Average	Decrease	Above Average
Ohio	Below Average	Below Average	Average	Decrease	Average
South Carolina	Below Average	Below Average	Below Average	Small Increase	Above Average

SOURCE: Based on analyses presented throughout Chapter II.

separate facilities. Separate facilities in States where the school-aged populations are increasing in size were noted by respondents in those States as important providers within the total special education system because of pressure on classroom space in other educational environments. The next chapter presents a description of the agencies involved in the delivery of special education services in the case study States and the associated patterns of service delivery in separate day and residential facilities for the handicapped. It also examines the structure and functions of the division within [illegible] State educational agency that is responsible for overseeing the special education system.

III. STRUCTURE OF STATE SPECIAL EDUCATION SYSTEMS

State education agencies are charged with implementing State policy concerning the delivery of special education services. They are the key actors in the coordination of services and must assure State compliance with EHA. Local school districts are the principal providers of special education services to students. However, in most States, there is a history of special education service delivery involving one or more State agencies such as departments of mental retardation, mental health, children and family services, and corrections. In some States, the State education agency also provides some direct services to handicapped students through facilities operated by the SEA.

This chapter takes three approaches to describing the special education system as it relates to separate educational programs for students with handicaps in the case study States. The chapter begins with a summary of the most recent information on the patterns of student placement in separate facilities in the case study States. Next, it describes the agencies and organizations, public and private, that operate special education programs in separate facilities. Finally, the chapter ends with a description of the organizational units within the State education agencies that have responsibility for overseeing the special education system, including separate facilities.

A. PATTERNS OF SEPARATE FACILITY USE

The eight case study States exemplify different patterns of use of separate facilities as reported in the 1986-87 annual reports from the States.[1]

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[1] California is not included in this analysis because the State did not report data comparable to those of the other States.

For all handicapping conditions, Ohio served the most students in separate day and residential facilities as a function of the total number of handicapped students served, almost 13 percent. (See Table III.1.) New Jersey served the next highest proportion of students in these facilities followed in order by Louisiana, Connecticut, Illinois, and Florida. South Carolina served the smallest proportion in separate schools, about 3 percent.

The States also differ in the percentage of students with various handicaps served in separate facilities. (See Table III.1.) In 1986-87, South Carolina served approximately 9 percent of mentally retarded and multi-handicapped students in separate facilities, while Florida, Louisiana, and New Jersey served over 30 percent in such facilities. With the exception of South Carolina, all of the case study States served a higher proportion of mentally retarded and/or multi-handicapped students in separate facilities than was true of the nation as a whole (14.46 percent), although Ohio's proportion was only slightly higher than that for the nation.

South Carolina was again lowest among the case study States in serving about 7 percent of its emotionally disturbed students in separate facilities; Florida served approximately 12 percent of its emotionally disturbed students in these facilities. Florida and South Carolina served smaller proportions of emotionally disturbed students in separate facilities, than was true for the entire country (16.11 percent). In comparison, Ohio served 45 percent and New Jersey served 38 percent of their emotionally disturbed students in separate facilities.

Illinois served approximately 12 percent of sensory impaired students in separate facilities while South Carolina served about 14 percent. These

TABLE III.1

PERCENT OF HANDICAPPED STUDENTS SERVED IN ALL SEPARATE DAY AND RESIDENTIAL ENVIRONMENTS BY HANDICAPPING CONDITION[a]

1986-87

State	All Conditions	Mentally Retarded/ Multi-handicapped	Emotionally Disturbed	Sensory Impairments
California[b]	--	--	--	--
Connecticut	8.2	24.5	22.6	32.0
Florida	6.9	31.2	12.3	21.2
Illinois	7.5	23.8	26.8	12.3
Louisiana	8.8	31.2	22.2	25.7
New Jersey	10.4	42.3	37.7	31.4
Ohio	12.7	17.6	45.0	15.8
South Carolina	3.3	9.0	6.9	14.0
Nation	5.9	14.5	16.1	19.7

SOURCE: U.S. Department of Education, 1989.

[a] Percentage is based on all students with a particular handicapping condition.

[b] California did not report data in comparable form.

States and Ohio served proportions smaller than the national figure (19.65 percent) in separate facilities, while Louisiana served 26 percent, Connecticut served 32 percent, and New Jersey served 31 percent of sensory impaired students in separate facilities.

Among the case study States, Connecticut (53 percent) and New Jersey (46 percent) served relatively large proportions of their students placed in separate facilities at private schools, while South Carolina (10 percent) served the smallest proportion of students in private facilities (the national figure was 34.5 percent). Historical patterns relating to the role of private facilities in both general and special education were cited as a major factor in current use of those facilities. It was also noted that private facilities tend to serve the emotionally and behaviorally disordered populations which have proven difficult for school districts to serve. In some States, private facilities are viewed as a viable option in the continuum of placements for special education service delivery. Connecticut, Illinois, and New Jersey are examples of such States. Also, parochial (private) schools are widely used in Louisiana and, until recently, a Nonpublic School Corporation funneled State monies to students voluntarily enrolled in nonpublic schools. Now, when students are placed in approved nonpublic schools, the student is the responsibility of the placing school system.

In summary, most of the case study States served more handicapped students in separate facilities during the 1986-87 school year than was true for the nation as a whole. South Carolina, which served fewer students with all handicapping conditions in separate facilities, is the exception. Connecticut, Louisiana, New Jersey, and Ohio generally served substantially higher proportions of students with handicaps in separate facilities. Connecticut and New Jersey also used private facilities more than did the other case study States and the nation.

B. PUBLIC AGENCIES PROVIDING SPECIAL EDUCATION SERVICES

States utilize a number of local, regional, and State public agencies in providing special education to handicapped students in a variety of settings. This section focuses specifically on the role of these agencies in providing educational services in separate facilities.

1. Local Public Agency Responsibilities in Special Education

Local education agencies (school districts) are responsible for providing special education and related services to students with handicaps, and under certain conditions may elect to do so by placing students in separate facilities including separate facilities operated by the district or by a consortium of districts. As required by the provisions of the Education of the Handicapped Act, responsibility for overseeing the education of all special education students, including those educated outside of the district or by other public agencies, is to be retained by the public education system, primarily by local districts.

The number of operating school districts in the case study States ranges from 1,025 in California to 66 in Louisiana (Illinois has 988, Ohio 615[2], New Jersey 592, Connecticut 169, South Carolina 91, and Florida 67). In most of the case study States, some intermediate units, consortia of districts, or regional or county agencies exist, either established in law or in practice, for the provision of special education services. In addition, four States (Louisiana, Connecticut, South Carolina, and California) have created special school districts for education programs run in other agencies.

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[2] Since 1987, consolidations have resulted in 612 districts in Ohio.

The remainder of this section presents a State-by-State summary of the local education system in each of the case study States, focusing on the role of the system in providing special education services in separate facilities.

California has 58 county education offices in addition to its 1,028 local education agencies responsible for the delivery of direct services to handicapped students. Both types of agencies are considered to be local agencies, although the county offices of education function more like intermediate units; that is they provide only very specialized types of services, such as special education and education for school-aged children in the custody of the juvenile court. The State Department of Education requires local districts and county offices to join together to form special education local plan areas (SELPAs) to ensure the availability of services for all eligible handicapped children; there are currently 109 SELPAs in the State.

Prior to the State's Master Plan, counties in California had responsibility for serving severely handicapped students for all local districts with fewer than 8,000 students in average daily attendance. Frequently special education developmental centers were built by the counties and were purposely not located near regular school buildings so as not to encroach on regular school grounds. Many of these facilities are still in existence.

In Connecticut the 169 local education agencies or districts include nineteen regional school districts, comprised of two or more towns which join together to provide educational services, which are fiscally independent with their own budgets and taxing authorities. In addition to the districts, three State agencies, the Departments of Mental Retardation, Children and Youth Services, and Corrections, operate special education programs that are designated as special unified school districts, and are subject to the same requirements as other school districts.

Apart from the local districts, regional school districts, and special unified districts, Connecticut also has six Regional Education Service Centers (RESCs) which are intermediate units which provide both special education and general education programs and services. For the most part the RESC special education programs serve very specialized populations through day programs, many operated in separate facilities.

Florida has a county school system in which each of the 67 counties in the State operates its own school district. The districts have primary responsibility for the provision of special education and some operate separate day schools. Children residing in State institutions are the responsibility of the district in which the facility is located. LEAs are also responsible for serving children in training schools for adjudicated youth, whether or not they are handicapped.

Although there are no formal intermediate units, districts sometimes form cooperative arrangements among themselves for the provision of services, typically for students with low incidence handicaps.

In Illinois special education services are provided by either a special education division within a single district, or some type of joint agreement among districts. All together, there are 90 individual districts and joint agreements offering special education services in Illinois. The joint agreements themselves fall along a continuum from centralized to decentralized joint agreements. Centralized joint agreements employ staff, assign staff to the local districts, and are responsible for service delivery, often in separate facilities, to the more severely handicapped students from the member districts. In a decentralized joint agreement, most staff are hired by the local districts and only certain services such as psychological or social work services are provided jointly. Joint agreements may also purchase services from a local district.

There are eleven regional programs for low incidence handicap groups, including one in Chicago. These programs were developed initially to provide programs and services to the low incidence population, primarily deaf, visually impaired, and orthopedically impaired children, thus providing an option in the continuum of services before consideration of residential placement. The programs provide consultation, coordination of services, resource identification, in-service training, high cost diagnostic services generally not available in districts, and parent-infant (birth to three) programs. The regional programs may also provide direct services to students.

In Louisiana there are 64 parishes (school districts), two city school systems, and the Special School District #1 (SSD #1) which administers all education programs in residential schools operated by the State departments of mental retardation, mental health, and corrections. SSD #1 is considered an intermediate school district. Some parishes in the State have formed collaboratives to serve low incidence populations such as the deaf or blind.

The State Board of Education has responsibility for students served in schools operated by the SEA.

New Jersey has a large number of local districts. In order to provide special education services, particularly to low incidence populations, a variety of intermediate units have been developed, including educational service commissions, special services districts, and jointures. Educational service commissions (ESCs) are to provide general support services to school districts in all areas of education; they are part of the county offices of education and thus under the supervision of the Division of County and Regional Services of the State Department of Education, rather than the Division of Special Education. Most provide auxiliary services such as transportation and materials although some provide direct services through separate programs. The four county special services districts were created to provide programs to handicapped students; they have specific legislative authority and are officially school districts. They were mandated to serve severely handicapped populations. Jointures were also created specifically to serve handicapped students; only one is in existence.

In addition, there are county vocational schools in all but two of the 21 counties in New Jersey; they operate as separate school districts with their own boards, and all offer special education services.

In Ohio there are three basic types of school districts. Most are "local districts" within the county school districts, but there are also city school districts and exempted village districts. Local districts within the counties may provide their own special education programs, they may opt to share programs, or they may participate in county board of education programs.

County programs typically provide psychological services, speech and language therapy, and other related services. Small school districts typically look to regional programs to serve students with low incidence handicaps; thus, county programs most often serve emotionally disturbed and multihandicapped students. Small districts also send students to nearby large districts for services.

In South Carolina, local districts are primarily responsible for providing special education; counties play no role in education. There are multidistrict programs which are run by one district but attended by students from other districts; these programs are generally located in schools serving non-handicapped students as well. In these arrangements, districts contract with other districts for services after developing the child's IEP, and most of these arrangements pertain to students with low incidence handicaps such as those with visual and hearing handicaps and exist between two districts. One consortium of thirteen districts exists.

2. Separate Facilities Operated by the State Education Agency

In all but two States (South Carolina and Connecticut[3]), the SEA operates its own separate facilities for students with handicaps. In California and New Jersey separate facilities are operated by separate divisions within the Department of Education coequal with the special education division. In both States, schools for the deaf are operated by these divisions, two in California and one in New Jersey. The Division of Special Schools in California also operates a State school for the blind, and the New Jersey

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[3] The State of Connecticut had operated the Mystic School for the Deaf until the early 1980's.

Division of Direct Services also operates regional day schools to serve severely handicapped students, particularly the multihandicapped, emotionally disturbed, deaf, and deaf-blind populations. New Jersey is seeking to curtail its involvement in direct service delivery to students. Some of New Jersey's regional day schools are operated by school districts, and the State is hoping to extend this practice to the remainder of the schools. Louisiana created the Special School District #1 (SSD #1) to operate educational programs in facilities run by other agencies. SSD #1 is not currently part of the Office of Special Educational Services but it is a separate agency in the Louisiana Department of Education. The State education agency also operates a few small programs at universities. Illinois' Deaf-Blind Center (Philip J. Rock School) is operated by a local district under a contract from the Department of Education. The Ohio SEA operates two schools, one for blind and the other for deaf students. Data from the survey of special education divisions show that State education agencies in twenty other States operate separate schools for the handicapped. Most are schools for visually or hearing impaired students and most are residential facilities.

3. Other State Agencies Operating Separate Facilities

Historically, other State agencies have operated separate, usually residential, facilities serving children and youth with handicaps. Generally, the main purpose of these facilities has not been educational, but instead therapeutic, or at some times custodial. However, in the decades prior to the passage of P.L. 94-142, many facilities incorporated education into their mandate, for at least some of the school-age population. Presently, other

State agencies often provide special education to students, although all such programs are under the general supervision of the State education agency.

All the case study States have independent State agencies or entities which operate separate facilities, usually residential, for handicapped persons in which separate educational programs are provided, either by the operating agency or by another agency. Virtually all of the operating agencies or the facilities themselves are separately funded by the State legislature which makes them fiscally independent of the State education agency. South Carolina, Louisiana, Florida, Ohio, Illinois, and New Jersey all [illegible] schools for the deaf and/or blind which are to some degree operationally independent of the SEA special education division, and which have been so for many years. Departments of mental retardation and/or mental health run educational programs in separate facilities in South Carolina, Ohio, New Jersey, and Connecticut. In Illinois, the separate residential schools for the visually impaired, hearing impaired, and orthopedically impaired are operated by the Department of Rehabilitation Services. The Department of Mental Health operates educational programs in only two of its facilities; in the others the educational program is provided by a local district or other public education agency. In all States, oversight to ensure compliance with Federal and State regulations of educational programs provided for students in State-operated separate facilities is the responsibility of the SEA.

The Survey of SEA Special Education Divisions indicates that the involvement of State agencies other than the SEA in the operation of separate facilities is a universal pattern. In all States, at least one State agency operated a separate day or residential facility for handicapped students. In twenty-six of the non-case study States, at least two State agencies other than the SEA operate such facilities. Most often these other agencies are the departments of mental retardation, health and human services, and developmental disabilities. In addition, the schools for deaf and/or blind students in several States are themselves independent State agencies.

The legacy of the role of other State agencies in providing special education and other services to handicapped children has created some political and bureaucratic obstacles to State education agencies in their attempts to extend State and Federal education regulations and standards and to improve educational services in separate facilities for the handicapped.

4. Interagency Cooperation

Because two or more agencies are involved in providing special education and related services to students with handicaps in each State, cooperation across agencies has been seen as essential to assure that all students received needed services and to avoid duplication of effort. Although, P.L. 94-142 provided State education agencies with general supervisory responsibility for educating students with handicaps, regardless of the agency providing the services, exercising this responsibility has often been difficult since no specific mechanism was specified or required.[4] As noted in the previous section, many State agencies other than the SEAs have a long history of providing services to handicapped persons of all ages and had in many cases developed their own standards and procedures for delivering and evaluating special education services within their own separate facilities. This history has created some problems in coordination of efforts between the SEA and other State agencies. Interagency agreements related to the service of handicapped students exist in all case study States, although in some States (in particular Connecticut, New Jersey, and South Carolina) unwritten working relationships appear to predominate. In most of the case study States, SEA staff noted that problems continued to exist despite interagency agreements. In several States this has resulted in legislation either to give the agreements the force of law or to create special interagency structures.

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[4] In contrast, the provisions of P.L. 99-457 are much more specific in describing the mechanisms by which early childhood program services are to be coordinated among various State agencies.

Several of the States have special interagency structures to facilitate coordination of educational services to handicapped students. Frequently these structures make placements, have financial responsibility for placements, and must approve reimbursement rates or tuition/service charges. Florida's SED Network is a multiagency network for severely emotionally disturbed children which is mandated to provide education, mental health services, and, if needed, residential services to these students in local districts. Illinois has created two special structures--the Residential Services Authority and the Governor's Purchased Care Review Board. The first agency has dispute resolution and planning responsibilities for behaviorally and emotionally disordered students. The Governor's Purchased Care Review Board approves allowable costs of private facilities for special education, related services, and room and board. In Ohio, the Interdepartmental Cluster of Services to Youth functions at both the local and State level; the purpose is to deal with individual cases that are complex, costly, or beyond the capabilities of individual agencies. In South Carolina, the Children's Case Resolution System was created to place and fund the placements of hard-to-place students. It is administered out of the Governor's Office; the System assumes a moderator role between agencies.

In New Jersey, South Carolina, and Florida, cross agency committees, councils and task forces are used extensively. Even in States with a number of formal interagency agreements, such as Louisiana, cross agency committees are also used. Special education staff in several States noted that these mid-management working relationships tended to be very effective in facilitating changes in separate facilities, with or without formal interagency agreements.

5. Summary

In all of the case study States, local school districts have primary responsibility for special education. While formal structures do not exist in all case study States (see Table III.2), each State provides, at a minimum, informal arrangements for districts to join together for serving students with handicaps, most often students with low incidence, severe, and/or multiple handicaps. Sometimes these arrangements involve the operation and/or use of separate facilities. As also shown in Table III.2, all but two State education agencies in the case study States operate separate facilities, although in New Jersey some are run under contract to local districts as is the one such facility in Illinois. Connecticut and South Carolina have no SEA-operated separate facilities for students with handicaps.

TABLE III.2

SEA AND OTHER STATE AGENCY INVOLVEMENT IN PROVISION OF SPECIAL EDUCATION IN SEPARATE FACILITIES IN CASE STUDY STATES

	Involvement of Intermediate Units, Consortia of Districts, or Regional Agencies in Provision of Special Education	Provision of Direct Services to Handicapped Students by SEA	Responsibility for Education at State-Operated Facilities	Formal Interagency Structures
California	Special Education Local Plan Areas (formerly Counties)	Yes (schools for deaf and blind)	State Agency Operating Facility	No
Connecticut	Regional School districts and Regional Education Service Centers	No	State Agency Operating Facility As Unified School Districts[a]	No
Florida	Consortia of districts	Yes (schools for deaf and blind)	Local District Where Facility Is Located	SED Network
Illinois	Joint agreements and Regional programs	Yes (deaf-blind center operated by LEA under contract with SEA)	State Agency Operating Facility[b]	Purchased Care Review Board Residential Services Authority
Louisiana	Consortia of districts	Yes (special education programs in all State-operated facilities through the unified school district)	Single Unified School District under SEA	No
New Jersey	Educational Service Commissions, Special Services districts, and Jointures	Yes (school for deaf and regional day schools, most of the latter operated by LEAs under contracts with SEA)	State Agency Operating Facility	No
Ohio	County Boards of Education County Boards of Mental Retardation/Developmental Disabilities	Yes (schools for deaf and blind)	State Agency Operating Facility	Interdepartment Cluster of Services to Youth
South Carolina	Consortia of districts	No	State Agency Operating Facility	Children's Case Resolution System

SOURCE: Provided by SEA staff during site visits conducted in 1987.

[a] Connecticut Department of Mental Retardation is in the process of transferring responsibility to local school districts.

[b] For most Department of Mental Health facilities, the educational program is provided by local districts or other public agencies on a voluntary basis.

All States make arrangements for the education of handicapped students placed in facilities operated by State agencies other than the SEA. (See Table III.2.) In six case study States (California, Connecticut, New Jersey, Ohio, and South Carolina) the non-education State agencies provide special education services when handicapped students are placed in their facilities. In Illinois, while the facilities operated by one State agency provide the educational program as well, local districts and other public education agencies provide education to students in most facilities operated by another State agency. In Florida, responsibility for the educational program in State-operated facilities goes to the district in which the facility is located; in Louisiana, a unified district operated by the SEA has this responsibility.

In all case study States there was recognition of tension between State agencies involved in the provision and supervision of special education programs in separate facilities. In several States (Illinois, Ohio, and South Carolina) this has resulted in the creation of formal interagency structures, focusing specifically on placement and funding issues. Other formal structures dealing with issues of coordination and communication among State agencies include a single unified school district under the SEA (Louisiana) and a voluntary network model for planning and delivering services to specific categories of students (Florida). Informal interactions among State agency staff at the mid-manager level were also reported to be effective in several States without more formal structures (particularly in Connecticut and New Jersey).

The case study States provide examples of the wide variety of public special education systems. There are some in which a number of local, intermediate, and State agencies operate special education programs in separate facilities (Connecticut, New Jersey, and Illinois). In others, the public system of special education in separate facilities is comprised of a small number of State and regional agencies (California and Ohio). And, in still others special education in separate facilities is largely the responsibility of State agencies (in most cases, the non-education agency operating the facility), although consortia of districts may be formed and may elect to operate separate programs (Florida, Louisiana, and South Carolina).

Later chapters will discuss how the structure of the special education systems in States is related to how SEA procedures are implemented and their reported role in influencing instructional practices at separate facilities. Among the greatest impediments to implementing change in separate facilities, as perceived by State respondents, were the jurisdictional barriers between State agencies operating separate facilities. The operation of separate education facilities by other State agencies with independent financial authority has hindered State education agencies in their attempts to bring about change in these facilities. Although interagency agreements and/or structures exist, joint planning is often difficult, and jurisdictional conflicts remain.[5] Historical and political inertia have proven added barriers to change in these relationships.

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[5] Staff in several States noted that P.L. 99-457 with its requirements for interagency cooperation could create an atmosphere in which some of these conflicts and barriers would be lessened.

C. STATE DIVISIONS OF SPECIAL EDUCATION

Each case study State has at least one independent division (office, bureau, or department) of the State education agency devoted to special education. In addition, two case study States, California and New Jersey, each have a separate division which administers programs in separate facilities. Two key dimensions of the organization of the State special education divisions are described below: the organizing structure of the divisions and the distribution of staff across administrative functions.

Among the case study States, all of the special education divisions are organized primarily by function rather than by geographic regions or by handicapping condition (i.e., program services, compliance, administration). According to the Survey of SEA Special Education Divisions conducted in 1988, this is also generally true of special education divisions in the other States (37 of the other States reported being organized by function, although some had other organizing features as well). In Florida, there are also specialists for specific handicapping conditions designated within some functional subdivisions. The California and New Jersey offices have geographic as well as functional subdivisions, while South Carolina has subdivisions based on handicapping condition. The Illinois division is organized on all of these dimensions. The number of units within the special education divisions ranges from two in South Carolina and Illinois to six in California. None of the special education divisions have units specifically dealing with separate facilities.

Most special education divisions in the case study States have not changed greatly in structure over the last ten years. Two States, New Jersey and California, have experienced frequent reorganizations of their special education units. In New Jersey, special education became a separate division in 1983 and shifted from a regionalized to a centralized staff at the same time. In California, operation of the SEA-operated special schools became the responsibility of a separate division in the mid-1980's.

State special education division staffs perform various functions as they implement and coordinate special education policy. These functions include compliance monitoring, grants management, technical assistance, personnel development and training, program and curriculum development, interagency liaison, and administration and planning. Based on information from the Survey of SEA Special Education Divisions, the States appear to vary a great deal in terms of allocation of special education staff to these functions (see Table III.3).

California, Connecticut, and Florida place particular emphasis in terms of allocation of staff time on a combination of technical assistance, program/curriculum development, and staff development activities. In California it was estimated that half of all staff time is devoted to technical assistance and training, and approximately one-fifth of staff time is devoted to program and personnel development combined. In addition to the staff involved in in-service training, the Connecticut pupil personnel group provides support services to local districts in a broad range of areas, including school health, school guidance, school psychology, social work, and speech and language services, to help districts meet the specific needs of individual students as well as special education students in general. Florida

TABLE III.3

PERCENT OF STATE SPECIAL EDUCATION DIVISION STAFF TIME BY FUNCTIONAL RESPONSIBILITIES

	Administration and Planning, and Grants Management	Compliance Monitoring	Program and Curriculum Development, Technical Assistance, and Personnel Development	Interagency Liaison	Other
California	15.5	12.1	70.7	1.7	0.0
Connecticut[a]	4.5	31.8	54.5	0.0	9.1[b]
Florida	20.0	14.3	62.9	2.9	0.0
Illinois	27.3	22.7	47.7	2.3	0.0
Louisiana	5.6	16.7	14.8	22.2	40.7[c]
New Jersey	23.7	20.3	30.5	5.1	20.3[d]
Ohio	39.9	54.1[e]	2.4	3.6	0.0
South Carolina	29.7	32.5	31.3	7.5	0.0
Median of Nation	18.2	18.9	41.7	4.4	0.0

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 as part of this study. The District of Columbia and all States except Hawaii responded to the survey.

[a] These figures represent major staff assignment for a given individual, not his or her sole activity. For example, all staff reported under "monitoring" also work on special technical assistance activities and staff from other units assist in monitoring.

[b] Due process.

[c] Pupil appraisal and support and fiscal management.

[d] Mediation.

[e] Technical assistance is provided as part of compliance monitoring in Ohio.

allocated about one third of its staff time each to program and curriculum development and to personnel development.

Connecticut, South Carolina, and especially Ohio place great emphasis in the allocation of staff on monitoring. Almost three-fifths of staff time in Ohio was devoted to compliance monitoring and to follow-up technical assistance. Connecticut and South Carolina each allocated about one-third of staff time to monitoring activities. Illinois allocates almost one-quarter of special education division staff time to each of the following: program and curriculum development, technical assistance, monitoring, and administration and planning.

The functions carried out by the special education divisions in Louisiana and New Jersey are somewhat unique. Louisiana noted that four tenths of staff time was devoted to pupil appraisal and support services and fiscal management (listed as "Other" in Table III.3), while about one fifth of staff time was devoted to interagency coordination. In New Jersey, about one fifth of staff time was used for each of the following: compliance monitoring, administration and planning, and other activities such as mediation.

Table III.4 summarizes the major distinguishing features of the case study States in how their special education divisions are organized. As will be discussed in later chapters, these organizational features are associated with how specific procedures (such as monitoring and technical assistance) are implemented in the States.

TABLE III.4

MAJOR ORGANIZATIONAL FEATURES OF DIVISIONS OF SPECIAL EDUCATION IN CASE STUDY STATES

	Organizational Basis	Functional Priorities, as Indicated by Distribution of Staff
California	Function and geography, with separate division operating special schools	Technical assistance
Connecticut	Function	Technical assistance and Compliance monitoring
Florida	Function, with program specialists for handicapping conditions	Program and Personnel development and Technical assistance
Illinois	Function, geography, and handicapping condition	Technical assistance and Program development
Louisiana	Function	Pupil appraisal and Interagency liaison
New Jersey	Function and geography, with separate division operating special schools and regional staff involved in LEA monitoring	Program and Personnel development, Compliance monitoring, and Mediation
Ohio	Function	Compliance monitoring (which includes Technical assistance) and Planning and management
South Carolina	Function, with subunits organized around handicapping condition	Compliance monitoring, Program and Personnel development, Technical assistance, and Planning and management

SOURCE: Based on analyses presented in Chapter III.

THE STUDY OF PROGRAMS OF INSTRUCTION FOR HANDICAPPED CHILDREN AND YOUTH IN DAY AND RESIDENTIAL FACILITIES

VOLUME III: STATE EDUCATION AGENCY PROCEDURES AND EDUCATIONAL PRACTICE AT SEPARATE FACILITIES FOR STUDENTS WITH HANDICAPS

PART TWO: STATE EDUCATION AGENCY PROCEDURES

I. SEA PROCEDURES: SPECIAL EDUCATION FUNDING

In almost every State,[1] Federal, State and local funds are combined to support the costs of special education and related services. Of the estimated $14.2 billion expended during 1984-85 on programs for children with handicaps, about 8 percent came from Federal sources, while State and local governments paid 57 percent and 35 percent respectively (U.S. Department of Education, 1989; see also Moore, et al., 1988). While the Federal share of special education expenditures is relatively minor, Federal assistance programs have played a major role over the past decade in influencing State efforts to meet the needs of children with handicaps. During this time period, State agencies displaced local governments as the primary contributor to the special education system, although the proportion of State versus local effort varies from State to State.

This chapter focuses on two aspects of SEA funding procedures: (1) the methods used by States to allocate resources for educational programs for handicapped children; and (2) State use of Federal funds in the provision of special education and related services.

A. STATE FUNDING PROCEDURES

All States provide funds to school districts for the provision of special education programs. State special education funding programs have the capacity to influence programs at the local level as they can affect the number and type of children served as handicapped, the type of programs and services provided by local school districts, the duration of time students spend in special education programs, the placement of students in various programs, and class size and caseloads, as well as administrative processes such as recordkeeping and reporting, and program and fiscal planning. Further, funding mechanisms can be used to implement State priorities and initiatives by, for example, earmarking funds for specific activities, establishing service priorities, providing incentives to develop specific types of programs, or instituting disincentives to discourage agencies from serving students in particular placements.

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[1] Both Hawaii and the District of Columbia operate a single school district which is fully funded by the State.

State special education funding programs are comprised of a variety of components. The primary emphasis of these funding programs is the formula used to distribute funds for students served in local school district programs, where the vast majority of students are served. Variations on this formula or separate mechanisms are used to distribute funds for students served in separate facilities in out-of-district placements, including placements in regional or intermediate service districts, SEA-operated programs, programs run by other State agencies, and private schools. Each of these components of funding is described below.

1. Funding of LEA Placements

The major component of State special education funding programs is the formula used to distribute resources to school districts for the provision of educational programs to children with handicaps. For the most part, States do not use this component to differentially impact programs in separate facilities operated by LEAs. That is within each State, all special education programs operated by an LEA are funded under the same special education funding mechanism.

Across States, the funding formulas used to calculate the financial needs of LEAs are based on three primary factors--resources (personnel, classrooms, or instructional units), students, or costs. There are also three mechanisms used to allocate resources; special education funds can be distributed on a flat grant, percentage, or weighted basis. As indicated by Moore, et. al., (1982) and shown on Table I.1 these two dimensions could be combined to form nine different types of funding formulas, but only six are practical and only five are actually used--(1) flat grant per teacher or classroom unit, (2) percentage or excess cost, (3) percentage of teacher/personnel salaries, (4) weighted pupil formula, and (5) weighted teacher/classroom unit formula. Note that while a flat grant per student is a viable option and is used to distribute EHA-B funds to States, no States exclusively use this type of formula to distribute funds to school districts for special education programs.

While these two dimensions are useful for forming a classification scheme there are many other factors important to funding which cut across these dimensions, such as the use of pupil-teacher ratios or adjustments for district size. The various combinations of these factors make each State's funding formula virtually unique. Thus, while the State funding formulas can be grouped according to the classification scheme, in practice they are not really similar. For discussion and comparison purposes, however, it is useful to classify States according to this framework.

TABLE I.1

. TYPES OF SPECIAL EDUCATION FINANCE FORMULAS

	Funding Mechanism		
Basic Elements	Flat Grant	Percentage	Weight
Students	Flat Grant/Student	--------	Pupil Weighting
Resources	Flat Grant/Classroom or Teacher Unit	Percentage of Personnel Salaries	Weighted Teacher or Classroom Unit
Costs	---------	Percentage Cost or Excess Cost	-------

SOURCE: Moore, Walker, and Holland, 1982.

Flat Grant per Teacher or Classroom Unit. Using this type of funding mechanism, the State provides to each district a fixed amount of money for each special education teacher employed or for each classroom unit needed. Regulations typically define pupil-teacher ratios or class size and caseload standards, either by handicapping condition or by type of program (e.g., resource room).

Nationally, ten States reported using this type of funding formula on the Survey of SEA Special Education Divisions conducted as part of this study. Among the case study States, California and Illinois employed this approach. A description of the funding formulas used in these two States illustrates the variation that exists within funding formula categories.

In California, funds are distributed as a flat grant per allowable unit, defined for fiscal purposes only by student-teacher ratios for three types of instructional settings (special day classes, resource specialist programs, and designated instruction and services). (Class sizes and student-teacher ratios in actual instructional settings vary, allowing flexibility in meeting individual student needs.) State special education funding may be received for a maximum of ten percent of the total kindergarten through 12th grade enrollment. Districts are also restricted as to the percentage of students that can be served within the three types of instructional settings. The amount of funds received per instructional unit differs for each school district and is adjusted annually for inflation. LEAs are also entitled to funding for support services which covers direct and indirect operating costs. Additional funds are available for districts with special circumstances, such as sparsity, density or enrollment growth. Separate provisions exist for funding of students placed out-of-district.

The funding formula utilized in Illinois provides a flat grant to school districts for the salaries of special education personnel. LEAs are reimbursed $8,000 each for professional staff (e.g., certified teacher, special education director, related services provider), the lesser of one-half of the salary or $2,800 annually per non-certified employees, one-half of the salary up to $400 annually per child for each reader for the blind, and one-half of the salary up to $1,000 annually per child or $8,000 per teacher for hospital/homebound instruction for physically handicapped children. The SEA also pays up to $2,000 per student for students who have extraordinarily high cost needs, to assist local districts in the costs of local programs for these students. However, separate funding mechanisms are used for students placed in private facilities and in State-operated programs (see Section 2 below). The private school funding formula includes provision of the full cost for room and board, if a student is placed residentially. In most cases, this can result in less cost for the district if the student is served in a private facility. In addition, the State pays nearly all the costs for most children in State-operated facilities; the State-operated separate facilities are 100 percent funded by the State with the exception of transportation which is reimbursed to districts by the State at 80 percent of the costs. SEA respondents in Illinois reported that the formula used to fund LEA placements in Illinois may encourage placements in private or State-operated facilities as most of the costs of these placements are funded by the State at a rate that provides a higher share than for programs operated by the LEAs.

Except for specified pupil-teacher ratios which typically vary by setting, the flat grant per teacher or classroom unit formula funds all LEA placements similarly and would not in and of itself impact the placement of students in separate LEA schools. However, use of this funding mechanism is often accompanied by separate funding provisions for students placed outside the LEA. Those funding provisions could provide an incentive for out-of-district placements if such placements are funded at a higher State share than programs operated by LEAs.

Percentage or excess cost. Under a percentage or excess cost formula, districts are reimbursed by the State for a percentage of the costs of educating children with handicaps. Reimbursement may be provided for a percentage of the full costs or for the costs which are above the average per pupil costs for general education programs. Reimbursable costs usually must be in approved categories and cost ceilings may apply. Across all States, twelve report using a cost-based formula.

One case study State, Connecticut, administers an excess cost reimbursement formula. Under that formula, school districts are reimbursed for between 30 and 70 percent of their net cost of special education.[1] The percentage reimbursement received by each town (district) is based on a complex general education equalization aid formula which ranks towns on a number of factors including their ability to pay for education based on their assessed property values. Thus, the wealthiest towns might receive 30 percent of their net cost from the State as a "special education grant" and must pay

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[1] In 1989 the range for State reimbursement was extended to between 20 and 70 percent of net special education costs, effective in the 1989-90 school year.

70 percent from local revenues, while the least wealthy districts can receive as much as 70 percent of their excess costs and contribute only 30 percent from local sources. The average reimbursement in 1987 was 56 percent. In addition, Connecticut provides 100 percent reimbursement for special education students whose program, regardless of its setting, costs more than five times the district's average per pupil costs.

As with the flat grant, the percentage and/or excess cost type of funding formula does not distinguish among placements for reimbursement purposes. Thus, there is likely to be no differential impact on separate facilities.

Percentage of Teacher/Personnel Salaries. Using this type of formula, the State provides districts with a percentage of the salaries of special education teachers and/or other special education personnel. The percentage may vary by personnel type. For example, the salaries of certified teachers may be reimbursed at a rate of 70 percent, while aides' salaries may be reimbursed at a rate of only 30 percent. Pupil-teacher ratios are typically specified under this formula type. Minimum State salary schedules may also be included in the formula specifications. Across all States, five States employ a percentage salary approach to funding school district special education programs.

Two case study States, Louisiana and Ohio, administer this type of funding formula. In Louisiana, the formula is based on a minimum foundation program, with funding provided for personnel employed, using a State minimum salary schedule with adjustments for fringe benefits. The number of teachers funded is based on pupil-teacher ratios. Special education supervisors are funded at the rate of one per district; aides, speech therapists, and occupational and physical therapists are funded based on staff-student ratios; assessment teachers, school psychologists and school social workers are funded based on the total number of regular and special teachers in public schools and on the membership in non-public schools; and special education bus attendants for buses on which eligible children are transported are funded at a fixed rate for all approved attendants.

In Ohio, funding is based on special education units, which are defined as instructional programs, most of which require a teacher and a minimum number of students. Unit definitions vary according to the disability classification of students and the specific types of programs in which they receive services. Pupil-staff ratios are specified. Nineteen different types of special education units are funded, with unit funding directly linked to a State minimum salary schedule designed to reflect staff training and experience. Reimbursement is also available through State funds for some individual services (e.g., tutoring, attendant services, interpreter services) that are provided to identified students.

The percentage salary formula has the potential to impact program placement if it is used to disproportionately reimburse specific special education categories (e.g., 60 percent of resource room teachers, 50 percent of separate school teachers).

Weighted Pupil Formula. With this funding approach, the State pays districts a multiple of average per pupil costs or other base rate, depending on students' handicapping condition and/or program. This type of formula may include other categorical programs in addition to special education (e.g., bilingual or compensatory education) and may also provide funding for general education programs, although some States choose to weight only the categorical programs. Pupil weighting formulas are used more often than any other funding method; across all States, nineteen utilize this method.

Three case study States, Florida, New Jersey, and South Carolina use a weighted pupil formula to distribute special education funds to school districts, although the formulas vary dramatically among the States, particularly in the pupil weights used. The weighting schemes used in each of the three States are arrayed in Table I.2.

In Florida, the weighted pupil formula is part of the Florida Education Finance Program (FEFP) which funds all education programs in the State. FEFP funds are generated by multiplying the number of full-time equivalent (FTE) students in various types of educational programs by cost factors to obtain weighted FTEs. Weighted FTEs are then multiplied by a base student allocation which is established annually by the legislature. Program cost factors are also determined annually by the legislature.

As shown on Table I.2, for 1988-89 the special education cost factors in Florida ranged from a low of 2.182 for educable mentally handicapped students to a high of 13.946 for part time visually handicapped students. Students may be weighted in more than one category to a maximum of 25 hours per week if they receive services under more than one category. The FEFP also takes into account differences in local property tax bases, cost factors, cost differentials and differences in per student cost for equivalent educational programs due to sparsity or density of student population. The funds for special education programs are not additional to general education aid.

TABLE I.2

WEIGHTING FACTORS USED BY CASE STUDY STATES USING WEIGHTED PUPIL FORMULAS FOR DISTRIBUTING STATE SPECIAL EDUCATION FUNDS

FLORIDA	
Educable Mentally Handicapped	2.182
Trainable Mentally Retarded	3.010
Physically Handicapped	3.812
Physical and Occupational Therapy (Part-Time)	8.543
Speech, Language and Hearing (Part-Time)	5.901
Speech, Language and Hearing	3.476
Visually Handicapped (Part-Time)	13.946
Visually Handicapped	4.989
Emotionally Disturbed (Part-Time)	4.005
Emotionally Disturbed	2.986
Specific Learning Disability (Part-Time)	3.402
Specific Learning Disability	2.241
Hospital and Homebound (Part-Time)	10.592
Profoundly Handicapped	4.513
SOUTH CAROLINA	
Educable Mentally Handicapped Learning Disabled	1.74
Trainable Mentally Handicapped Emotionally Handicapped Orthopedically Handicapped	2.04
Visually Handicapped Hearing Handicapped	2.57
Speech Handicapped	1.90
Homebound	2.10

TABLE I.2 (continued)

NEW JERSEY[a]	
Educable Mentally Retarded	.41
Trainable Mentally Retarded	.70
Orthopedically Handicapped	.74
Neurologically Impaired	.48
Perceptually Impaired	.21
Visually Handicapped	1.97
Auditorially Handicapped	1.33
Communication Handicapped	.61
Emotionally Disturbed	.69
Socially Maladjusted	.45
Chronically Ill	.54
Multiple Handicapped	.77
Preschool Handicapped	.31
Resource Room	.60
Private Schools for the Handicapped	.84
(Plus cost factor of handicapped program above)	
Supplementary and Speech Instruction	.08
Homebound Instruction (No. of Hours x Factor)	.005
State Facilities	
Residential Facilities for Retarded	2.07
Day Training Center	2.85
Residential Youth Center	1.67
Training School or Correctional Facility	.50
Child Treatment Centers of Psychiatric Hospital	1.24

SOURCE: Information provided by the States during 1987 site visits.

[a] Note that in New Jersey the special education funds distributed according to these weights are additional to funds under the education funding program, while in Florida and South Carolina they are not.

In South Carolina, the pupil weighting formula is also tied to general education funding. A base student cost is established annually by the legislature with weights for handicapped students and for vocational programs. Also, kindergarten, primary, and high school students are weighted more heavily than are elementary pupils. The weights, displayed on Table I.2, range from a low of 1.74 for educable mentally handicapped and learning disabled students to a high of 2.57 for visually handicapped and hearing handicapped students. The formula also establishes maximum class sizes. A special appropriation from the legislature is made annually for programs for trainable mentally retarded students and for the profoundly mentally retarded.

New Jersey also administers a weighted pupil formula to distribute State aid for special education, but the funds are additional to general education aid. Weights are based primarily on handicapping conditions, but also address program placements, as indicated in Table I.2. The weights are multiplied by pupil incidence in each of the programs. The resulting "categorical aid units" are multiplied by the State base allocation to determine the level of State special education funding. Weights are adjusted annually. For 1988-89, the weights for handicapping conditions ranged from a low of .21 for the perceptually impaired to a high of 1.97 for the visually handicapped.

Pupil weighting formulas have the potential to encourage student placements in higher reimbursement categories and can be used to reinforce less restrictive settings if they include differential weights for such placements.

Weighted Teacher/Classroom Unit. Under this formula type the State pays districts an amount based on a multiple of allowable teacher or classroom units. Weights may vary by handicapping condition and/or program, and units may be constrained by pupil-staff ratios. For example, the State may fund one staff unit for each five severely handicapped students and one staff unit for each 45 speech impaired students. This type of formula can also provide placement incentives or disincentives if it differentially reimburses specific categories. Among all States, only two use this approach; none of the case study States employ this type of funding formula.

Summary. The funding systems developed by States to distribute resources to LEAs for the operation of special education programs vary substantially from one State to another. However, there are five general funding approaches currently in use--(1) flat grant per teacher or classroom unit, (2) percentage or excess cost, (3) percentage of teacher/personnel salaries, (4) weighted pupil formula, and (5) weighted teacher/classroom unit formula.

Using data reported on the Survey of SEA Special Education Divisions, Table I.3 shows the number and percent of States using each of the five formula types. The table indicates that the weighted pupil formula is the most common funding mechanism used. This type of funding formula reflects the differences in the costs of serving children with varying handicaps. However, the use of a formula which provides variation in funding based on handicapping condition has been criticized as reinforcing labelling and has the potential to encourage districts to classify students into higher reimbursement categories. Thus, some States have begun to shift from weighting of the individual handicap of the student to a weighting scheme which addresses the different programs they receive. Such a weighting scheme could be used to encourage or discourage districts from placing students in separate

TABLE I.3

FUNDING FORMULA USED TO DISTRIBUTE SPECIAL EDUCATION FUNDS TO LEAS

	(a) Flat Grant	(b) Percentage or Excess Cost	(c) % Salaries	(d) Weighted Pupil	(e) Weighted Teacher/ Classroom	(f) Other
Case Study States						
California	X					
Connecticut		X[a]				
Florida				X		
Illinois	X[b]					
Louisiana			X			
New Jersey				X		
Ohio			X			
South Carolina				X		
Total	2 (25%)	1 (12.5%)	2 (25%)	3 (37.5%)	0	0
Total (N=50)	10 (20%)	12 (24%)	5 (10%)	19 (38%)	2 (4%)	2 (4%)

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 as part of this study. The District of Columbia and all States except Hawaii responded to the survey.

[a] Percentage allocation formula for all special education costs plus excess cost grant for students whose program costs more than five times the average per pupil cost.

[b] The SEA also pays up to $2,000 per student for students who have extraordinarily high cost needs.

facilities, but would likely have little to no impact on programs in these facilities. Similarly, any funding formula which incorporates a differential reimbursement rate for specific types of placements has the capacity to influence the rate of placement in separate facilities. However, the type of formula used to fund LEA special education programs is not likely to impact the programs offered in LEA separate facilities.

2. Funding of Out-of-District Placements

Data from the Tenth Annual Report to Congress (U.S. Department of Education, 1988) indicate that during the 1985-86 school year the overwhelming majority of handicapped students (92 percent) are served in school buildings with their nonhandicapped peers. Occasionally, however, students cannot be appropriately served by LEA programs and must receive special education and related services in programs outside the school district. In addition, some students are placed in non-LEA programs for reasons other than educational (for example, for treatment of physical or emotional disorders or behavior problems exhibited outside the school setting) and by agencies other than the LEA or the SEA. This results in students being served by a variety of non-LEA agencies, such as intermediate educational agencies or regional programs, SEA-operated programs, other State agencies, and private schools. In addition, some of these programs may provide residential services which may or may not be related to the special education program. All of these out-of-district placements have implications for funding. The historical role of SEA-operated facilities and other State agencies in serving children with handicaps also plays an important role in determining how these placements are funded.

In some States, such as those using an excess cost or percentage reimbursement formula, the funding scheme can be easily adapted to handle multiple types of placements. In those States, the sending LEA typically would pay tuition to the receiving program, and then would be reimbursed by the State according to the same excess cost or percentage formula used to fund LEA placements. In many cases, however, the funding mechanism developed by States to distribute funds for LEA programs is not always flexible enough to address out-of-district placements and their interagency nature. In addition, some States have designed systems for funding out-of-district placements to specifically discourage LEAs from making certain types of placements, such as those in separate facilities. Other mechanisms may unintentionally provide incentives to LEAs to place students in separate facilities, even though they have not been designed for this purpose. For example, within a State, LEAs may have no financial responsibility for students placed at the State school for the deaf and blind, which may encourage school districts to place students there.

The methods developed by States for funding out-of-district placements vary widely both across programs within States and across States within programs.[1] Generally, there are five approaches which States use to fund these placements:

- Direct State appropriation to the facility
- Direct payment by the SEA to the facility, using the same formula employed to distribute funds for LEA programs

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[1] Sources of funds for these placements are discussed in Section B below.

- Direct payment by the LEA to the facility, with SEA reimbursement to the LEA using the same formula employed to distribute funds for LEA programs
- Direct payment by the LEA to the facility, with SEA reimbursement to the LEA using a different formula than the one used to distribute funds for LEA programs
- Payment to the facility by a non-education agency

Funding for out-of-district placements may vary depending on whether the facility is a day or residential program. States may also use a combination of these approaches. It is important to note that each of the approaches used to fund out-of-district placements has the potential to create incentives or disincentives for particular placements. However, regardless of whether the specific mechanism impacts the use of out-of-district separate facilities, the approaches are not designed to directly impact programs in those facilities.

The mechanisms used by States to fund each of the various out-of-district placements are addressed in the following sections.

Funding of IEU/Regional Programs. In some States, intermediate education units and/or regional school districts provide direct special education services in both day and residential settings to children with handicaps. About one-third of all States reported operation of IEU day facilities, while fifteen percent reported use of IEU residential placements. There is some variability among States in how these placements are funded, but most States operating IEU or regional programs fund the placements using the same mechanism employed to fund LEA placements. However, the placing LEA pays the facility for the placement and is reimbursed by the SEA under the LEA formula.

Among the case study States, four States have IEU or regional programs which operate separate facilities. Connecticut, Illinois, and New Jersey have regional or intermediate unit day and residential facilities, while in Ohio, county day programs operate. In addition to separate facilities operated by joint agreements, Illinois' regional superintendents provide the special education program for students at three State-operated facilities, with funding provided by the SEA. The Regional Service Regions do not operate separate facilities themselves.

The mechanisms used to fund these programs are different in each of the four case study States. Connecticut funds both day and residential regional programs similarly, through direct LEA payments with the State reimbursing the districts according to the same percentage formula used to distribute funds for LEA programs. Thus, LEAs pay tuition directly to the regional program and are reimbursed by the State for between 30 percent and 70 percent of the cost of the tuition. In New Jersey, where multiple types of day and residential intermediate and regional programs operate, funding is provided either through direct payment by LEAs or a combination of State, county and local funding.

Ohio funds county day programs through direct SEA payments using the same unit formula that provides funds for LEA placements. In Illinois, some joint agreements operating separate facilities are paid by the LEAs for services provided to district students, with the LEA reimbursed by the State under the same flat grant formula used to fund LEA-operated special education programs. Some joint agreements are recognized as an LEA and receive the flat grant reimbursement themselves directly from the SEA.

Funding of SEA-Operated Programs. Many States use facilities operated by the SEA to provide services to children with disabilities, such as State schools for the deaf and/or visually impaired. Data from the Survey of SEA

Special Education Divisions indicate that only five of the States have SEA-operated day programs, while almost half have SEA-operated residential facilities. The funding approach in the States with day facilities varies, but for those States operating residential programs, the vast majority (77 percent) fund the facilities through direct State appropriations.

SEA residential programs are operated in four of the eight case study States. Similar to the rest of the nation, three of those four States (California, Florida, and Ohio) also fund these programs through direct State appropriations.[1] In the fourth State, New Jersey, a combination of mechanisms is used to fund residential placements in SEA-operated facilities, with direct payments made by sending districts according to funds received through the LEA funding formula with the remainder paid by State appropriations.

In California, where the six State special schools are funded through direct State appropriation, a recent change is to charge sending LEAs 10 percent of the cost of a student's program. Prior to the 1986-87 school year, districts could send students to the six State special schools at no charge. Some SEA respondents in California reported that the 10 percent charge was instituted to discourage LEAs from sending students to these separate State facilities. Others believed the 10 percent charge was necessary to help cover costs.

Funding for Students Placed in Facilities Operated by Other State Agencies. Historically, many State agencies have been involved in the provision of services to children with handicaps, such as departments of mental health, youth services, mental retardation, and developmental services. Data from the survey of State special education divisions indicate that over half the States reported that no day facilities for handicapped students are operated by State agencies other than the State Department of Education, but in almost all States (94 percent) residential facilities serving students with disabilities are operated by a wide variety of such agencies. All the case study States have other State agency operated facilities serving children with handicaps, but in Louisiana, the education programs provided in such facilities are administered by and funded through Special School District #1 (SSD #1), an intermediate school district.

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[1] In addition, the SEA-operated unified school district providing educational services to students in residential facilities operated by other State agencies is funded through direct appropriations.

With implementation of the general supervision requirements of EHA-B, new relationships emerged between the SEAs and other state agencies serving disabled children. By this time, States have generally developed interagency agreements to specify the financial and programmatic responsibilities of each agency, but they are often complex and must address historical anomaly. These arrangements can be particularly complicated for residential facilities, for which the funding scheme must take into account the fact that student placement in other State agency facilities is often for non-educational purposes and such placements are often made by non-education agencies. Thus, the fiscal responsibilities of the State and local education agencies are not always clear.

Among the case study States, the mcst common method used for funding residential placements in other State agency programs is for the placing agency to be responsible for residential costs while the LEA or SEA pays for the educational costs. This generally occurs regardless of which agency makes the placement. In New Jersey, however, the Bureau of Special Residential Facilities within the Department of Human Services (DHS) pays both the residential and educational costs for residential placements made by DHS. If an LEA makes a residential placement (in which case it would be for educational purposes), the LEA would pay all costs.

Regardless of which agency pays for the educational services, across States the actual method used to distribute the resources can differ depending on which agency makes the placement, whether the placement is for educational or other purposes, and whether the placement is day or residential. The case study States illustrate some of these variations.

In New Jersey and Ohio, funding for other State agency placements is similar to the approach used to fund LEA placements. In New Jersey, funding for students placed in other State agency programs is essentially the same as funding for students served by LEAs. Weighted pupil units are provided based on type of program; weights for pupils in State facilities range from a low of .50 for students served in training schools or correctional facilities to a high of 2.85 f students served in Day Training Centers. Funds are provided to the school district of residence, regardless of where the student receives services.

In Ohio, programs operated by other State agencies are authorized to request State educational funding according to the same unit formula used for LEA programs. For students attending State institutions or developmental centers operated by the Department of Mental Retardation/Developmental Disabilities (DMR/DD) or the Department of Mental Health, the school district of residence of the student is responsible for paying tuition to the institution.

For children placed in separate-facilities by Connecticut's Department of Children and Youth Services (DCYS), the LEA of the parents' residence receives funds for and pays for the educational costs of students residing in DCYS facilities. The district of residence receives a State agency placement grant from the SEA for costs above 2 1/2 times their average per pupil educational costs. Most school-aged clients of the Department of Mental Retardation are now served by local districts, reimbursed by the SEA; the DMR special school district receives direct State funding for the program it provides to a small number of school-aged facility residents. Handicapped youth aged 18 through 21 placed in facilities operated by Connecticut's Department of Mental Health (DMH), however, are the educational responsibility of the local or regional board of education of the town where the person is placed. The impacted school districts are provided with 100 percent current year funding to serve the eligible residents.

Both Illinois' and South Carolina's funding approaches for placements in other State agency programs are quite different from that of the other case study States. In Illinois, there are direct State appropriations for special education programs at the facilities operated by the Department of Rehabilitative Services, the two Department of Mental Health facilities where that agency provides educational services itself, and at the Deaf-Blind School operated by an LEA under contract to the SEA. In any case, districts generally pay no tuition charges for students placed in State-operated programs with few exceptions. In South Carolina, the other State agencies providing services to handicapped children, the Departments of Mental Retardation, Mental Health and Youth Services, and the South Carolina School for the Deaf, Blind and Multihandicapped have their own funding from the legislature. LEAs sending students to these facilities do not pay them tuition.

South Carolina also operates a Children's Case Resolution System (CCRS), a formalized structure for interaction among multiple agencies to place and fund programs for hard to place children. Costs are shared among the various agencies with responsibilities for the student, with CCRS assuming a percentage of the total cost of the placement, and education costs shared by the LEA and the SEA.

Funding of Private School Placements. Perhaps the most variation across States in their funding methods can be found in the approaches to funding private school placements. These placements are probably subject to the most latitude in terms of funding because States are under no obligation to make use of private facilities for the handicapped. In fact, two of the case study States (Ohio and South Carolina) do not provide public funding for nonpublic school placements. Historically in both States, there were relatively few private schools for handicapped students. In Louisiana, no additional funding is available for students served in private schools. The LEA can count the student under their LEA funding formula, but would have to assume any extra costs of the private school tuition. Recently, Florida implemented a provision to split the costs of private school placements with local districts, at a ratio of 60 percent provided by the SEA and 40 percent by the

LEA, when the costs exceed the total per pupil allocation of both EHA-B and State funds.

Most States use the same mechanism to fund both day and residential placements in private facilities. Across all States, the most common approach used to fund private day and residential placements is direct payment by the LEA using either the same or a different formula used to fund LEA placements. Among the case study States, California, Connecticut, Illinois, and New Jersey use the method of direct LEA payment. California and Illinois use a different formula while Connecticut and New Jersey use the same formula used to fund LEA placements. In all four States, however, the LEA is responsible for making direct payments to the private facility.

Despite the similarity in general approach, the actual formula used to fund private placements in the four States varies. In California, districts are reimbursed by the State for 70 percent of the excess cost of the tuition or charge for the service. Districts must pay the remaining 30 percent with local funds. In Illinois, LEAs are reimbursed by the SEA for the difference between the per capita costs for general education in the district and the tuition charge for the private placement up to $4,500. For all approved tuition costs in excess of $4,500, the SEA reimburses for costs over two times the per capita costs for general education.

In Connecticut and New Jersey, private school tuition is paid by LEAs who are reimbursed by the SEA using the same mechanism used to fund students served in LEA programs. In Connecticut, the percentage formula allows districts to be reimbursed for a percentage of the private school tuition, and the State pays for costs of placements above five times the average per pupil cost. In New Jersey, the weighted formula provides an extra weight for students placed in private facilities. That is, students are weighted once according to handicapping condition and then a second weight is applied for the private school placement.

Data from the Survey of SEA Special Education Divisions indicate that, in many States, the funding formula leaves LEAs with greater costs for private school placements than most in-district programs, serving as a disincentive to nonpublic school placement. As previously noted, in a few States, no State special education funding is provided for private school placements. On the other hand, according to the formula in some States, such as Illinois, LEAs can receive an equal or greater reimbursement for students placed in private facilities than if the student is educated in an LEA program, depending upon the district's per capita costs and the private facility tuition.

In an attempt to control the high costs of nonpublic placements, some States, such as Illinois and New Jersey, require that private school tuition rates be approved by the State. In Illinois, the Governor's Purchased Care Review Board sets approved rates for tuition and for room and board costs of non-public residential facilities. In New Jersey, private school tuition rates are set for individual schools, based on audited allowable costs. None of the other case study States approve private school tuition rates.

Summary. Five general approaches were identified for funding out-of-district placements, although the actual formulas used to distribute resources vary both within and across States. Within States, when both day and residential facilities are operated by a particular agency, funding for both types of placements is usually the same. For example, in California, both private day and private residential facilities are funded using the same approach--direct LEA payment with SEA reimbursement, although the funding formula for reimbursement purposes differs from the one used to fund placements within a school district. Little consistency was found in funding methods across types of facility operators (SEA, other State agencies, local public agencies, or private organizations), even within the same State, but among the case study States and nationally, SEA-operated facilities tend to be funded through direct State appropriation.

It appears that, while State procedures for funding out-of-district placements have the potential to influence the rate of student placements in separate facilities, the impact of the approaches on the instructional program offered in such facilities is likely to be negligible. Further, the capacity of the funding method even to influence the rate of placement in separate facilities is confounded by the fact that many such placements are made for non-educational purposes, and by agencies other than the State and local education agencies.

B. USE OF FEDERAL FUNDS

As noted above, about 8 percent of the funds expended on educational programs for children with handicaps comes from Federal sources.[1] This assistance has been an important influence in the development and support of State efforts to meet the needs of children with handicaps by helping States expand and diversify services to this population. The bulk of Federal assistance for educational services is provided through two formula grant programs:[1] State grants under Part B of the Education of the Handicapped Act (EHA-B) and grants for State Operated Programs for the Handicapped under the Elementary and Secondary Education Act (Chapter 1 of ESEA (SOP), formerly P.L. 89-313). This section addresses the ways in which States use these Federal funds.

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[1] Moore, et al. (1988) found that federal EHA-B funds accounted for 6 percent of total expenditures for special education at the local level.

1. State Use of EHA-B Funds

EHA-B funds are provided annually to States based on the total number of handicapped children aged 3 through 21 reported by their local educational agencies as receiving special education and related services on December 1 of the previous fiscal year. Every SEA is required to flow-through a minimum of 75 percent of the funds received under the grant program to LEAs and intermediate educational units to support the education of handicapped students. Local agencies are required to use these funds to provide direct services to handicapped children and must ensure that the funds are not used to supplant State and local expenditures for special education programs. Data from the Survey of SEA Special Education Divisions (see Table I.4) indicate that across all States an average of 81 percent of entitlement funds are passed through to school districts. Among the case study States, Connecticut, Florida, Illinois, and Ohio reported that 75 percent of the entitlement funds

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[1] Residential facilities providing long-term treatment or care for emotionally disturbed, mentally retarded, or multiply handicapped persons generally receive Medicaid funds to reimburse the costs of residential services to persons of all ages, including children and youth below age 22.

TABLE I.4

ALLOCATION OF STATE'S FEDERAL GRANT UNDER EHA-B IN 1987-88 SCHOOL YEAR

(Percent)

	Flow Through	Administrative	Resource/ Materials Centers	Research Evaluation, Pilot Projects[a]	Other
Case Study States					
California	89.3	3.6	0	7.1	0
Connecticut	75.9	6.0	3.7	7.5	6.9
Florida	75.0	3.4	18.4	2.5	0.7
Illinois	75.0[b]	5.0	9.0	1.0	10.0[c]
Louisiana	80.0	5.0	d/	d/	0
New Jersey	94.0	5.0	0	0	0
Ohio	77.0	5.0	16.0	2.0	0
South Carolina	95.0	4.0	0	0	1.0
All States	80.6	5.0	3.4	4.0	7.1

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 as part of this study. The District of Columbia and all States except Hawaii responded to the survey.

[a] Includes development of materials which averaged 0.3 percent of EHA-B (ranging from 0 to 3.3 percent).

[b] Five percent must be used by the receiving district for in-service training.

[c] Reimbursements for room and board costs for students placed by LEAs at private residential facilities.

[d] Reported 15.0 percent of EHA-B funds allocated to these activities combined.

are passed through to LEAs.[1] The remaining States (California, New Jersey, Louisiana, and South Carolina) all pass through more than the requisite 75 percent, ranging from about 80 percent in Louisiana to 95 percent in South Carolina. Local districts use the flow-through federal funds to pay for special education programs, including (depending upon the State) those provided to students in separate facilities whether operated by the LEA or by other agencies or private organizations. In illinois, districts are required to use 5 percent of their grant under P.L. 94-142 to fund their own in-service training programs in special education.

The remaining 25 percent of the Federal funds from the grant program may be set aside for use by the SEA, with up to five percent--or $350,000, whichever is greater--used to pay for administrative costs. The portion of the set-aside funds not directed for administrative uses (up to 20 percent) may be used to provide direct or support services according to State-established priorities. Some States elect not to use the entire 20 percent for such purposes, choosing instead to pass through additional funds to LEAs.

A wide range of programs are supported by almost all States with some part of their set-aside funds. States may fund activities undertaken by its own staff and may also use a portion of these monies to fund grants, competitive or otherwise, to school districts. The ability to use these funds to support State priorities and initiatives provides States with important opportunities to use funding to impact the content and quality of special education programs. Among the case study States, the set-aside was used most frequently to support resource centers and technical assistance networks, two activities geared toward program improvement. Florida and Ohio reported that almost all their set-aside funds were used for this purpose.

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[1] In addition, in Illinois the legislature granted districts up to 12.5 percent of the P.L. 94-142 set-aside funds as a type of entitlement for room and board costs for districts which place students in private residential programs.

Another frequent use of the set-aside funds is to support pilot and research projects in areas of State-established priorities. This activity provides opportunities for States to evaluate and disseminate new instructional methods, or to experiment with innovative ideas and practices through pilot programs. Many States using a portion of their set-aside funds for these purposes distribute the funds through a competitive grant process to LEAs and other educational entities within the State. In Connecticut, for example, recent priorities for competitive grants to LEAs included transition planning and placement for students with severe handicaps, non-biased assessment practices for minority students, enhanced participation of Hispanic parents in the IEP process, and development of programs for handicapped gifted and talented students. In Louisiana, set-aside funds have been used to support priority areas through competitive grants, including colleges and university personnel training programs, vocational education, coordination of general education and special education, transition programs, strengthening appraisal services, regional support services, increased parental involvement, and low incidence populations.

It should be noted that State funds may also be used, in addition to Federal set-aside monies, to support various technical assistance, development, or dissemination projects.

2. Use of Chapter 1 of ESEA (SOP) Funds

Federal funds for handicapped students are also distributed to States under Chapter 1 of the Elementary and Secondary Education Act (Chapter 1 of ESEA (SOP), formerly P.L. 89-313. Grants provided to States under this program are targeted for use to expand or improve educational services to handicapped children currently enrolled in State-operated or State-supported schools and programs. A 1975 amendment to this program allowed the use of grant funds to follow handicapped children transferred from State-operated or State-supported facilities to programs operated by LEAs, in an effort to encourage the transfer of students to programs in their home communities. Thus, it is not surprising that most States report using Chapter 1 of ESEA (SOP) funds to supplement direct services provided to children in State-operated facilities and to develop programs for the transition of students to their community schools (U.S. Department of Education, 1988). The ability of States to use Chapter 1 funds to supplement programs in State-operated or supported facilities provides another opportunity for States to impact the quality of programs in these separate facilities.

Among the case study States, the use of funds provided through the Chapter 1 program focuses almost exclusively on the support of direct services to children. In Connecticut, for example, Chapter 1 funds are used by the Department of Mental Retardation to support teacher aides. Similarly, in Illinois, Chapter 1 grants are typically awarded to provide services to children who are severely handicapped and in low incidence groups and are usually used to provide or increase the amount of services such as occupational and physical therapy, speech therapy, and diagnostic services.

In Louisiana, Chapter 1 funds are used for the unified school district serving students in State-operated facilities, the Schools for the Deaf and Visually Impaired, and in districts (parishes) with Chapter 1 transfer students. Funds are spent primarily for personnel and supplies and materials. Ohio also reported that Chapter 1 funds were used mostly on contracted personnel expenditures, and South Carolina reported similar uses of these funds. In New Jersey, SEA staff reported that Chapter 1 funds are used for a wider range of services, such as training, conferences and workshops, transportation, parent training or workshops, staff salaries and instructional equipment or materials.

C. SUMMARY

As indicated by Table I.5, the case study States use a wide variety of mechanisms to fund special education programs for students with handicaps. Across States, the funding mechanisms used vary by facility operator, and there appears to be no relationship between how a State funds LEA placements and the approach used to fund placements of students in out-of-district facilities. Funding methods can also differ according to whether the facility is operated by a public or private agency, but for specific operators within a State, both day and residential placements tend to be funded similarly. The only similarity found across all States is that SEA-operated residential facilities are commonly funded through direct State appropriation.

Overall, the methods used by States to fund within and out-of-district special education placements are not designed to impact on the programs

TABLE I.5

FUNDING OF PLACEMENTS AT NON-LEA OPERATED FACILITIES IN CASE STUDY STATES

State	LEA Funding Formula	Direct State Appropriation	Direct SEA Payment Using Same Formula as LEA Formula	Direct LEA Payment with SEA Reimbursing Using Same Formula as LEA Formula	Direct LEA Payment with SEA Reimbursing Using Different Formula	Payment by Non-Education Agency	Other
California	Flat Grant	SEA Operated Residential		State Operated Day and Residential Facilities	Private Day and Residential Facilities		
Connecticut	Percentage and Excess Cost			Regional Day and Residential Facilities Private Day and Residential Facilities			State Operated Day and Residential Facilities
Florida	Weighted Pupil	SEA Operated Residential Facilities				State Operated Residential Facilities	
Illinois	Flat Grants	State Operated Programs*		Joint Agreement Programs	Private Day and Residential Facilities		
Louisiana	Percentage Salaries	SEA Operated Unified School District					

TABLE I.5 (continued)

State	LEA Funding Formula	Direct State Appropriation	Direct SEA Payment Using Same Formula as LEA Formula	Direct LEA Payment with SEA Reimbursing Using Same Formula as LEA Formula	Direct LEA Payment with SEA Reimbursing Using Different Formula	Payment by Non-Education Agency	Other
New Jersey	Weighted Pupil			State Operated Day and Residential Private Residential Facilities			Regional Day and Residential Facilities SEA Operated Residential Facilities Private Day Facilities
Ohio	Percentage Salaries	SEA Operated Residential Facilities	County Day Facilities State Operated Residential Facilities				
South Carolina	Weighted Pupil	State Operated Residential Facilities					

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 for this study. The District of Columbia and all States except Hawaii responded to the survey.

NOTE: State operated facilities = Facilities operated by State agencies other than the SEA.

[a] Including the Deaf-Blind Center which is operated by an LEA under contract to the SEA.

offered by separate facilities. Rather, the major effect of State funding procedures results from their capacity to influence the use of separate facilities through the operation of incentives and disincentives, intended or otherwise. For example, some SEA respondents in California reported that the recent implementation of a 10 percent tuition charge for students placed in State special schools, previously free to sending LEAs, was instituted for the express purpose of discouraging districts from sending students to the six SEA-operated schools. Conversely, in Illinois and New Jersey, LEAs can receive an equal or greater reimbursement for students placed in private facilities than if the student is educated in an LEA program, providing a potential incentive to districts to place students in private facilities.

One funding mechanism available to States to impact educational programs themselves is through the use of Federal funds. States can distribute these funds through varying means and can use Federal dollars to implement State-established priorities and initiatives. Among the case study States, set-aside funds provided through EHA-B were used primarily to fund resource centers and technical assistance networks, while Chapter 1 of ESEA (SOP) funds were targeted on supplementing personnel resources. Thus, while State funding procedures are most likely to impact program placements in separate facilities, Federal funds are one source of funds used for program improvement.

II. SEA PROCEDURES: SPECIAL EDUCATION STANDARDS AND MONITORING PROCEDURES

Federal statutes and regulations regarding programs for the handicapped do not generally specify exact program standards within which State and local special education programs must operate, although all such programs must operate within the general framework set forth by EHA.[1] Within this context, all States set some specific standards for the operation of special education programs for facilities under their jurisdiction. These standards provide minimum requirements for, enhance the uniformity of, and promote equity in the quantity and quality of instruction provided to students, in what is often a highly decentralized system of local control.

To ensure implementation of State standards and Federal requirements for the operation of special education programs, Federal requirements dictate that State education agencies are responsible for assuring that the provisions of EHA are implemented, through monitoring of all educational programs within the State, including programs administered by any State and local agency. This requirement is designed to ensure that all program providers comply with the Federal and State requirements that set forth and guarantee the provision of a free appropriate public education to all handicapped children and youth. The process used in States to implement this requirement is commonly referred to as compliance monitoring.

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[1] Recent regulations for EHA (4/27/89) require that the States use their own existing highest requirements to determine standards appropriate to personnel who provide special education and related services to children and youth with handicaps. Since this regulation was not in effect during the data collection phase of this study, the impact of this Federal standard cannot be addressed.

This chapter discusses how the State educational standards in place for special education programs in the case study States may differ for programs operated in separate facilities, drawing primarily upon data collected in the Survey of SEA Special Education Divisions. The chapter then describes the compliance monitoring process used by States to ensure that special education programs operate in accordance with State and Federal requirements, using both survey and case study data.

A. STANDARDS

The use of educational standards is one way that States attempt to affect the quality of education programs. States typically set educational standards in the areas of staffing and instructional programs.[1] In these areas, standards are usually specified for personnel qualifications, the amount of time students are exposed to instruction (length of school day/year), the numbers of staff available to an individual student (pupil/teacher ratios), and the instructional content of student programs. Many States also have standards for student achievement as determined by competency testing and graduation requirements, but these are typically specified for the general education program. Within States, all handicapped students may not be subject to the same requirements as non-handicapped students. In some States, special exceptions or exemptions from the general education standards are made for students in all or some categories of handicapping conditions, while other States offer diplomas for meeting IEP requirements or certificates of completion rather than diplomas. Some States have a separate set of student standards for children involved in special education programs, while others do not address this area at all. As most of the case study States do not expressly specify student standards for children with handicaps, this area was not pursued.

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[1] Standards related to the health and safety of students and staff are also generally set, but are not the focus of this examination.

In examining State standards for special education programs for this study, the standards in place for LEA special education programs were used as a baseline against which the standards for programs in separate special education facilities could be compared. The staff and program standards developed by States for LEA programs and differences in those standards for non-LEA facilities are discussed below.

1. Staff Certification Standards

All eight case study States have specific certification requirements for special education teachers and/or related services staff. Most case study States also set standards for administrators working in special education programs.

Teacher Certification. For teachers, certification tends to be required for specific handicapping conditions. For example, in California certification is granted in the five areas of learning handicapped, severely handicapped, physically handicapped, communication handicapped, and visually handicapped. Among the case study States, New Jersey is the State that requires certification for the most limited number of handicapping conditions. In New Jersey at the time of the site visit, the following certificates for instructional staff are required: teacher of the handicapped and teachers of the handicapped with endorsements (blind or partially sighted, deaf or hard of hearing, and nursery school).

These teacher certification requirements apply to special education teachers employed in local school district programs. In most of the case study States, all teachers in all special education programs are required to meet these standards. In Illinois and South Carolina, however, there are differences for some facilities. In State-operated facilities in Illinois, teachers must meet the State certification requirements plus any additional qualifications set forth by the department or agency operating the facility. In addition, for private schools in Illinois, only twenty-five percent of the instructional staff are required to meet State teacher certification requirements. In private facilities in South Carolina, only the teacher or teachers serving students placed in such facilities by LEAs must meet the State certification requirements; other staff employed by the private facility need not be certified.

Across all other States responding to the Survey of SEA Special Education Divisions, most indicated that teacher certification standards for staff in LEA programs do not differ for staff employed in separate facilities operated by other agencies or organizations.[1] Four States indicated differences for staff in State and/or privately operated facilities.

Related Services Personnel Certification. For related services staff, the situation is similar to that for teacher certification standards. All case study States and most other States reported the existence of certification standards for related services personnel who deliver services in LEA programs and for the most part, these standards were reported to be the same for personnel in other types of facilities. South Carolina was the exception, indicating that certification requirements for speech pathologists and psychologists employed in LEA programs differed for similar personnel working in other special education programs.

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[1] States can make provision for provisional or temporary certification, alternative certification, and emergency certification, which can permit classroom teachers without extensive training in special education to teach handicapped students.

Administrative Staff Certification. Seven case study States reported the existence of LEA standards for special education administrators. Among these States, Illinois was the only one reporting a difference in the standards for administrative staff between LEA programs and other State-operated facilities and private programs. Florida was the only State that reported no LEA standards for these personnel.

Thirty-seven of the non-case study States reported no differences in standards for special education administrative staff across types of facilities or programs.

2. Program Standards

Instructional program standards are used in an attempt to ensure uniformity in the amount and quality of instruction provided to students and to ensure equal educational opportunities among students. Program standards are generally specified in four areas: curriculum content, length of school day/year, pupil/teacher ratios, and maximum class size/caseloads. Program standards for special education may differ from the standards specified for general education programs, or the same standards may apply across both programs.

Curriculum Content Standards. Curriculum content standards generally take the form of broad guidelines which help ensure the consistency of instructional programs within and across school districts or may delineate a set of skills and objectives to be obtained by students at various points in the student's program.

Five of the case study States (California, Connecticut, Florida, Illinois, and Louisiana) have standards for curriculum content in LEA programs, but only Florida and Louisiana have developed curriculum standards specifically for special education programs. Three States (New Jersey, Ohio, and South Carolina) reported no State-prescribed general education or special education curriculum.[1]

Three of the five case study States with curriculum standards (California, Connecticut, and Louisiana), indicated that the same standards apply to both LEA and other types of programs, while two States (Florida and Illinois) reported that these standards differ for privately operated and State-operated facilities respectively. In Illinois, the School for the Visually Impaired and the School for the Deaf have their own curriculum standards. While these standards are similar to LEA course requirements, they have been adapted to meet the needs of the populations served by the facilities. Florida does not require the use of its special education curriculum frameworks in private schools for handicapped students.

Across all other States, nineteen indicated that curriculum standards were the same across all types of facilities, while another twenty States indicated no curriculum standards for LEAs in general or special education.

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[1] Ohio does have requirements for development of educational programs to meet distributional requirements for courses of study in elementary and secondary school programs, as well as specific objectives for the educational program for students with particular handicapping conditions.

Length of School Day and Year. All case study States reported having standards applicable to LEAs regarding the minimum length of the school day and year. Four States (California, Florida, Illinois, and South Carolina) reported differences between LEA standards and those for other types of facilities. Where standards differ they are generally in State-operated facilities with year-round programs. Across the other States surveyed, most (over 90%) reported that standards for length of the school day and year are the same across all types of facilities.

Pupil/Teacher Ratios. Five of the eight case study States (Illinois, Louisiana, New Jersey, Ohio, and South Carolina) reported having LEA standards for pupil/teacher ratios, while California, Connecticut, and Florida reported that pupil/teacher ratios are at the discretion of local districts. Only Illinois and South Carolina reported differences in pupil/teacher ratios between LEA and other programs. South Carolina reported lower pupil/teacher ratios for State-operated programs; these standards are set by the other State agency but monitored by the SEA. In Illinois, pupil/teacher ratios in public schools are dictated by standards and regulations, while ratios in private schools are dictated by the students' IEPs.

Among the non-case study States, eight did not report LEA standards for pupil/teacher ratios and twenty-one States use the same standards across facilities.

Maximum Class Size/Caseload Standards. Most case study States have standards governing maximum class size and/or caseloads for LEA programs. In some States, these standards are an integral part of the formula used to distribute special education resources. In Connecticut and Florida, class size and caseload standards are at the discretion of each local district, and California does not set maximum class size standards except for resource programs.

Across all States which specify class size/caseload standards for LEA programs, most reported that standards are the same across facilities. Three case study States and five other States indicated differences for State and/or privately operated programs.

3. Summary

All States establish educational standards in the areas of staff certification and program content, in an attempt to affect the quality of education programs. These standards provide the context in which all education programs must operate within a State, including special education programs at separate facilities. For this study, the standards applicable to LEA special education programs provided the baseline against which other education programs were compared. As indicated in Table II.1, across the case study States, there is considerable uniformity in the existence of educational standards and their applicability across facilities. In only two case study States were there different personnel and program standards for almost all types of facilities. Across the case study states, the standard that varies most often is length of school day/year, associated primarily with the year round programs offered in State operated facilities. Of the remaining differences, most are due to a different set of standards applied in private schools.

TABLE II.1

DIFFERENCES IN STANDARDS BETWEEN LEA SPECIAL EDUCATION PROGRAMS AND ALL OTHER PROGRAMS[a]

	Standard						
State	Teacher Certification	Related Services Certification	Administrator Certification	Curriculum Content	Length of Day/Year	Teacher Ratio	Class Size Caseload
California	No	No	No	No	Yes	N/A	Yes
Connecticut	No	No	No	No	No	N/A	N/A
Florida	No	No	N/A	Yes	Yes	N/A	N/A
Illinois	Yes[b]	Yes	Yes	Yes	Yes	Yes	Yes
Louisiana	No	No	No	No	No	No	No
New Jersey	No	No	No	N/A	No	No	No
Ohio	No	No	No	N/A[c]	No	No	No
South Carolina	Yes[b]	No	No	N/A	Yes	Yes	Yes

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 as part of this study. The District of Columbia and all States except Hawaii responded to the survey.

[a] All other programs includes SEA-operated facilities, privately operated facilities and facilities operated by other State agencies.

[b] Differences only occur in private facilities.

[c] The distributional requirements for courses of study in elementary and secondary education programs do not differ between LEA and all other special education programs.

N/A = No Statewide standard for LEA program exists.

This general pattern of similar standards applied across types of special education programs, regardless of their location, reinforces the conclusion that States do not use standards per se to affect separate facilities. Separate facilities are, by and large, required to conform to the same standards for staff qualifications and program content as the special education programs operating in local public schools. Thus, educational standards by themselves do not provide States with a unique tool for improving educational programs at separate facilities. However, coupled with the ability of the SEA to ensure implementation of standards, States generally reported having an effective mechanism for affecting instructional practices in separate facilities, as well as in other special education programs. One means used by all States to ensure compliance with State and Federal standards is monitoring, which is discussed in the following section.

B. COMPLIANCE MONITORING

Federal regulations require that State Education Agencies be responsible for assuring that the provisions of EHA are implemented. Monitoring of States by the U.S. Department of Education is designed to ensure that SEAs carry out that responsibility, through monitoring of all educational programs within the State, including those provided at separate facilities. The Federal monitoring requirements are comprehensive in scope, requiring that in addition to monitoring LEAs and IEUs, the SEA must also monitor other State agencies providing education programs for children with handicaps as well as assure that any programs for disabled children located in private facilities and paid for by public funds comply with Federal and State standards. This requirement is designed to ensure that all program providers comply with the Federal and

State provisions that set forth and guarantee a free appropriate public education to all handicapped children and youth.

The Federal requirements emphasize compliance with the procedures required by law more than program content. This emphasis has influenced SEAs to focus their monitoring efforts on the procedural aspects of State and Federal law (e.g., procedures for IEP development, use of surrogate parents) rather than on a direct assessment of the quality and effectiveness of special education programs. As a result, the monitoring systems designed by States to generate the information required by Federal law and regulations are remarkably similar. This has been reported in previous studies (Farrow, 1983; NASDSE, 1986) and was confirmed during site visits to the eight case study States. The typical process used by States to monitor special education programs operated in public (local or State-operated) facilities is described below, including a discussion of variation among States in monitoring procedures. The process used in States to monitor special education programs operated by private facilities is quite different and is addressed in a subsequent section.

1. General Monitoring Process

The procedures that most SEAs have implemented to carry out their monitoring responsibilities with regard to LEAs, intermediate or regional education agencies, and other State agencies providing education to handicapped students are based on a cyclical process in which agencies are subject to a comprehensive compliance review by the SEA at specified intervals. The review centers on an on-site visit, and encompasses three phases: 1) Data Collection and Review; 2) On-Site Validation Review; and 3)

Reporting and Followup. These general procedures are used regardless of whether the agency being monitored operates separate facilities, as is generally the case for other State agencies, or provides special education in a variety of settings including separate facilities, such as LEAs and IEUs. State agency programs, however, are not reviewed with regard to student identification and evaluation issues, since these functions are the prerogative of LEAs.

The data collection and review component of the compliance review is designed to obtain and review relevant information for determining the consistency of local policies and procedures with Federal and State statutes and regulations. Implementation of these policies and procedures are verified during the on-site review conducted during the second phase of the monitoring process. Activities completed during this phase focus on preparation for the on-site monitoring visit and include obtaining and reviewing district policies and analysis of performance data. A self-evaluation by the agency may also be completed at this time. In addition, logistical procedures such as building and pupil sampling for purposes of verification are undertaken.

The primary purpose of on-site monitoring is to validate the implementation of the plans, policies and procedures documented during the first phase of the monitoring process and to ensure compliance with areas not readily verifiable through document review and data reporting. This phase typically includes scheduled visits to schools and classrooms to observe all components of the program, such as instruction, related services, staffing patterns, teacher certification and qualifications, program supervision, physical plant, and availability of in-service training. Activities during this phase also include record review for a sample of students and review of a sample of IEPs, as well as interviews with various personnel, such as administrators, support personnel, teachers, students, and parents, to verify the provision of services and to validate that procedures are being implemented as documented. For LEAs this process generally includes selection of students placed in locally-operated separate facilities as well as those placed in private and State-operated separate facilities. These students' actual programs and services are reviewed against their IEPs.

The final phase of the on-site compliance review process--reporting and followup--is designed to provide agencies with feedback regarding their compliance status, to assist with development and implementation of plans for corrective action and in some States, to provide recommendations on program areas which may need improvement even though they are in compliance with Federal and State statutes and regulations. This component includes preparation of a written report of findings from the on-site visit, and follow-up to ensure that required actions are implemented. The content of the written report is similar among States and typically includes commendations, areas of noncompliance, and a plan for corrective action and/or a program improvement plan, as well as timelines for implementing required and recommended changes. Once the plans of action are completed and appropriate documentation of implementation of the corrective actions have been received, the SEA sends a letter indicating compliance to the local agency or facility. If compliance is not achieved within the required timelines, sanctions such as the withholding of funds may be applied. The provision of technical assistance to assist districts, agencies, or facilities gain compliance is an important part of this phase.

For the most part, this process is used across all types of public special education programs and facilities, including separate facilities operated by other State agencies. In fact, in some States the programs operated by other State agencies are designated as special school districts and are treated as such for monitoring purposes. However, the documents and manuals used to monitor special education programs operated by other State agencies are typically tailored to each agency and do not address areas which are outside their domain, such as identification and referral procedures. Also, the use of special procedures, such as coordinated reviews and local self-evaluations are not generally used in the monitoring of other State agencies.

However, despite the similarity in general approach, there is some variation in monitoring procedures across States, as discussed below. These differences are related, not to the type of special education program or facility, but to specific ways States have designed monitoring of the entire special education system.

The three step process described above is central to the monitoring procedures used by States to fulfill their administrative responsibilities under EHA. However, there are important differences among States in how this process is implemented. The dimensions on which States vary include:

- The strategies employed for reporting and followup, including the provision of technical assistance and the application of sanctions for noncompliance
- The interval at which programs are monitored

- The use of off-site reviews
- The SEA personnel involved in monitoring
- The use of coordinated reviews
- The use of self-reviews

Reporting and Follow-up. Most variation among States in compliance monitoring occurs in the reporting and follow-up phase, where different strategies are used to provide feedback on the results of the on-site visits, in the follow-up techniques undertaken to ensure that corrective actions have been taken, and in the level of technical assistance provided. California, for example, uses an automated system to track progress on required corrective actions. In Illinois, administrative reviews of a district's programs (or of those at State-operated facilities) may be conducted by State special education staff as follow-up to monitoring for several years after an on-site visit, until full compliance is achieved. For private facilities, follow-up visits may be made by the SEA's Non Public School Approval Department, not by Special Education staff, to ensure that noted deficiencies are corrected. All deficiencies must be corrected prior to the required annual review. In Louisiana, a follow-up visit may be completed to ensure that noted deficiencies have been corrected.

Among the case study States, Ohio's monitoring process is distinctive in the level of interaction between the SEA and the LEA, which is exemplified in the approach used to prepare the report of findings, including the actions to be undertaken by agencies to correct deficiencies. In most of the States, a written document is prepared with the SEA taking the lead role in development of the plans for corrective action. Although local agencies in Illinois and

California also play an extensive role in developing the corrective action plan, in Ohio the monitoring team routinely conducts an on-site follow-up meeting to negotiate the corrective actions to be taken by local administrators. One respondent in Ohio reported that this meeting is viewed as "an in-service for district administrators."

In general, Ohio's monitoring system, referred to as Program Review and Evaluation Procedures (PREP) is viewed as more than a compliance monitoring process. Extensive technical assistance is provided to districts during the preparatory and corrective action phases and the active involvement of the LEA is perceived as critical. SEA staff reported that PREP has substantially increased the ability of the Division to affect change and improvement in special education programs in Ohio.

In contrast to Ohio, where the monitoring process is heavily integrated with technical assistance and most SEA special education staff are involved in the process, Florida recently differentiated the monitoring and technical assistance responsibilities of SEA staff. State staff in Florida reported that the previous system, where the same individuals in charge of identifying problems through compliance monitoring also helped to correct the problems through technical assistance, had presented a number of difficulties. Program area consultants now develop programs and make program improvements on a Statewide rather than on an individual school or district basis, and there is a separate monitoring unit with the special education division. In 1988, other staff, particular by those involved in program development and management of Federal grants, began to participate in compliance monitoring reviews.

One component of the reporting and follow-up phase is ensuring that corrective actions have been made once an agency has been monitored. The use of sanctions is one means States have for ensuring that required corrective actions are implemented. State special education staff across the case study States generally viewed sanctions, such as the withholding of funds applied to non-compliant agencies, as counterproductive and report that they are rarely used. Providing technical assistance was reported as a much more effective technique for helping agencies achieve compliance. In fact, SEA staff generally agreed that an important outcome of the compliance monitoring process was the ability to identify areas requiring technical assistance.

Monitoring Interval. Data from the Survey of SEA Special Education Divisions indicate that across States, the frequency with which on-site reviews are conducted for special education programs at separate facilities and elsewhere is very similar across facility types, with over half (twenty-eight) of the States conducting on-site compliance reviews on a three-year basis. Across all States, the next most frequent interval for on-site compliance reviews is five years (twelve States). Four States reported an interval of four years, two States reported an interval of two years, and one State reported compliance reviews are conducted annually. Table II.2 illustrates the uniformity across the case study states. For LEAs, only New Jersey and Ohio reported that monitoring is conducted at a longer interval than every three years. Ohio reported using frequent communications between the LEAs and the SEA during the school year to supplement on-site reviews

TABLE II.2

FREQUENCY OF ON-SITE MONITORING FOR PUBLIC SPECIAL EDUCATION PROGRAMS AMONG CASE STUDY STATES, BY TYPE OF PROGRAM MONITORED

(Frequency in Years)

	Type of Program Monitored			
	LEA Programs	IEU Programs	SEA Programs	Other State Agency Programs
California	3	3	3	3
Connecticut	3	3	NA	3
Florida	3	NA	3	3
Illinois	3	3	NA	Ongoing
Louisiana	3	NA	3	NA
New Jersey	5	5	5	5
Ohio	3	3	3	3
South Carolina	3	NA	NA	3
All States	3 years (28) 5 years (12)	NA (32) 3 years (11) 5 years (3)	NA (28) 3 years (13) 5 years (6)	NA (3) 3 years (25) 5 years (10)

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 as part of this study. The District of Columbia and all States except Hawaii responded to the survey.

NA = no programs of this type were reported.

every six years. New Jersey reported a monitoring interval of five years for all public agency programs.

Use of Off-Site Reviews. A study conducted by NASDSE (1986) found that as States have worked toward improving their systems of compliance monitoring, they have developed processes which enable them to monitor public agencies providing special education on a more continuous basis than the on-site review interval would otherwise allow. These "off-site" reviews include techniques such as annual self-assessments and reviews of written policies, procedures, and forms to determine their compliance with State and Federal laws and regulations. Among the case study States, Table II.3 indicates that variability among the case study States only California and South Carolina do not extensively use off-site reviews for special education programs. In general the frequency of off-site reviews for separate facilities as well as for special education programs in local districts is most typically at one or three year intervals. Data from the Survey of SEA Special Education Divisions indicate that across other States, the existence and frequency of off-site review procedures is similar to those for the case study States.

Monitoring Staff. Not surprisingly, among the case study States the SEA is almost always responsible for monitoring all public agency programs, although the SEA staff conducting the compliance reviews can vary. (In Ohio, monitoring for all public agency programs except those in State institutions and State developmental centers is conducted by staff from the State special education division; monitoring for the latter two types of programs is conducted by the individual departments operating the program.) As indicated on Table II.4, in four of the case study States (California, Connecticut,

TABLE II.3

EXISTENCE AND FREQUENCY OF OFF-SITE REVIEWS IN MONITORING PROCESS

STATE	Interval at Which Off-site Review Conducted		
	One-Year	3-Year	Other
California	Private Facilities		
Connecticut		LEAs IEUs Other State Agency Facilities	Private Facilities
Florida	LEAs SEA-Operated Facilities Other State Agency Facilities		
Illinois		LEAs IEUs	Other State Agency Facilities
Louisiana	LEAs Private Facilities	SEA-Operated Unified School District Program	
New Jersey	LEAs IEUs SEA-Operated Facilities Other State Agency Facilities Private Facilities		
Ohio		LEAs IEUs SEA-Operated Facilities Other State Agency Facilities	
South Carolina	LEAs		
All States[a]	LEAs (20) IEUs (4) SEA-Operated Facilities (8) Other State Agency Facilities (20) Private Facilities (19)	LEAs (13) IEUs (4) SEA-Operated Facilities (6) Other State Agency Facilities (7) Private (1)	LEAs (8) IEUs (3) SEA-Operated Facilities (4) Other State Facilities (8) Private (5)

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 as part of this study. The District of Columbia and all States except Hawaii responded to the survey.

[a] Number of States in which no off-site review was conducted, by the type of program operated:
- LEAs (8 States had no off-site review)
- IEUs (32 States had no IEUs or no special education programs run by IEUs; 6 States had no off-site reviews of such programs)
- SEA-Operated Facilities (28 States had no such facilities; 3 States had no off-site reviews of such programs)
- Other State Agency Facilities (3 States had no special education programs operated by such facilities; 11 States had no off-site reviews of such programs)
- Private Facilities (13 States reported no such facilities providing special education; 11 States had no off-site reviews of such facilities)

TABLE II.4

SEA PERSONNEL INVOLVED IN MONITORING

STATE	Staff Conducting Monitoring Separate Compliance Monitoring Unit	 All Special Education Division Staff	 Other
California	X		
Connecticut	X		
Florida	X		
Illinois		X	
Louisiana	X		
New Jersey			X[a]
Ohio		X[b]	
South Carolina		X	

SOURCE: Information provided during site visits, conducted in 1989.

[a] County-based staff conduct monitoring of LEA special education programs, while central office staff conduct monitoring of private and State-operated special education programs.

[b] For other state agency programs in Ohio, monitoring is conducted by the individual departments operating the program, using procedures parallel to those used to monitor other facilities.

Florida and Louisiana) monitoring is carried out primarily by a separate compliance unit within the division of special education,[1] while in Ohio, Illinois, and South Carolina, all staff of the special education division are involved in the monitoring process. In New Jersey, SEA employees working at the county level (county supervisors of child study) are responsible for monitoring the special education programs in the school districts under their jurisdiction, while central office staff from the special education division conduct monitoring activities for both SEA-operated programs and facilities operated by other State agencies. Data from the Survey of SEA Special Education Divisions indicate that across all States, the vast majority also conduct compliance monitoring activities through the special education division of the SEA.

Use of coordinated compliance reviews. Education programs receiving Federal funding are subject to compliance reviews by the State for each type of Federal grant. Some States choose to monitor all Federally funded programs and/or State categorical programs (e.g., Federal Chapter 1 programs, State programs for limited English proficient students) in one coordinated compliance review. Other States may monitor categorical programs and general education programs together, while in many States each program is monitored separately. Responses to the Survey of SEA Special Education Divisions indicate that in most States, special education programs in local districts, including those operating separate facilities, and in State-operated facilities are monitored separately from other categorical programs and general education programs. (See Table II.5.) Three of the case study States, California, Connecticut and Florida, undertake a coordinated compliance review in which a number of categorical programs are monitored during a single on-site visit by a multidisciplinary team from the SEA. Special education programs are monitored by staff from the special education division, while the other programs reviewed during the on-site visit are monitored by staff from their respective SEA divisions (e.g., bilingual education, compensatory education). Staff in these States reported that this coordinated effort made the monitoring process more efficient and was perceived to be less burdensome by local districts.

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[1] In 1988, other special education division staff in Florida began to participate in monitoring. In Connecticut some staff from other units participate in monitoring.

Data from the Survey of SEA Special Education Divisions indicated that for States that monitor special education with other Federally funded programs, 59 percent of the respondents reported they did not believe that "over time monitoring has increasingly focused on program content and instructional issues." Staff in most States (71 percent) that monitor special education and general education programs concurrently also disagreed with this statement. However, in over the half the States (55 percent) which monitor special education programs separately from any other State or Federal program, staff agreed that the monitoring process has increasingly focused on program content and instructional issues over time. These findings may reflect the fact that States conducting coordinated reviews have designed systems which focus on the common elements across programs--the procedural requirements--rather than on program content.

TABLE II.5

HOW SPECIAL EDUCATION MONITORING IS CONDUCTED IN RELATION TO OTHER SEA MONITORING ACTIVITIES

	With Other Federally Funded Programs	With General Education Programs	With No Other Programs
Case Study States (N=8)			
California	X	X	
Connecticut	X	X	
Florida	X	X	
Illinois	[a]	X[b]	X
Louisiana		X	X
New Jersey	X[c]	X[d]	X[e]
Ohio			X
South Carolina			X
Total	4	6	4
Total	12	14	33

SOURCE: Survey of SEA Special Education Divisions, conducted in 1988 as part of this study. The District of Columbia and all States except Hawaii responded to the survey.

NOTE: More than one response was permitted.

[a] Selectively monitors programs at same time monitors Chapter 1 grants.

[b] Monitors special education staff credentials jointly.

[c] For State-operated programs.

[d] For local public programs.

[e] For private schools.

Use of self-reviews. Another important difference among States with respect to their monitoring procedures is the use of self-reviews by local education agencies. Among the case study States, California and Connecticut make extensive use of self-reviews, which are intensive reviews requiring local staff to make visits to schools and programs as well as a review of student records and other documentation. The local staff write a report of findings which is submitted to the SEA, noting areas of compliance, noncompliance, and needs for technical assistance. In California, local districts that have an excellent self-review can be excused from the monitoring process for one cycle. In those cases, only one SEA staff member would visit the district to validate the self-review. New Jersey uses self-reviews extensively in monitoring private schools, as described in the next section. Connecticut is considering adopting a new procedure where LEAs with a good record from their past monitoring visits will be allowed to conduct and file a report using self-study guides. They would then be monitored on-site by the SEA on a six-year rather than a three-year cycle. Although other case study States also employ self-evaluation procedures, they are used primarily as a preparatory process only prior to the SEA on-site visit.

The use of the self-review process in California and Connecticut acknowledges that all LEAs may not require the same level of monitoring, particularly a decade after implementation of P.L. 94-142. The self-review process as used in these two States allows the SEA to differentiate among LEAs, focusing their monitoring, and particularly their follow-up and technical assistance activities, on those districts with identified problems or special concerns. Self-reviews are generally used only for local education agency programs, as a whole.

2. Monitoring of Private Schools

Compliance monitoring for programs operated by private schools differs substantially from the process used by SEAs to monitor special education programs and facilities operated by local public agencies and there are several different processes used across States. The process may include a detailed approval and certification process specifically designed for special education programs in private schools or there may be a private school approval process applicable regardless of whether the students served are handicapped or not. Based on information provided on the Survey of SEA Special Education Divisions, in 70 percent of the States there is a procedure to register and/or approve private schools, and in most of these cases the approval process appears to be focused on special education criteria. Some States monitor private schools when the LEA in which they are located is monitored, while other States may monitor a special education private school placement but not the entire facility. Over half the States reported on the Survey of SEA Special Education Divisions that compliance reviews associated with private placements were conducted by the SEA division of special education, with on-site monitoring typically at three year intervals. Table II.6 summarizes for the case study States, whether the private school approval process has a special education focus, if approval is conducted by the SEA division of special education and if private school approval is a process distinct from LEA compliance monitoring.

TABLE II.6

MONITORING OF PRIVATE SCHOOL PROGRAMS OR FACILITIES

STATE	Special Education Focus	Process Linked with LEA Monitoring	Approval Conducted by Special Education Division
California	YES	NO	YES
Connecticut	YES	NO	YES
Florida	a/	YES	YES
Illinois	NO	b/	NO
Louisiana	YES	YES	NO
New Jersey	YES	NO	YES
Ohio	NO	NO	NO
South Carolina	NO[3]	NO	YES[c]

SOURCE: Information collected during site visits conducted in 1987.

[a] In Florida, private schools must meet State Board of Education standards, but there is no separate school approval process. However, a private facility will be monitored when the LEA placing students there is monitored.

[b] Private facilities' special education programs are approved and monitored separately from general private schools and public schools, by an SEA division other than special education division. LEA monitoring conducted by the SEA special education division ensures compliance with regard to IEP implementation for sampled students who have been placed in private facilities.

[c] In South Carolina, a private facility is only monitored when an LEA requests to place a student there.

Among the case study States, California, Connecticut, and New Jersey all use a process in which private schools for the handicapped apply to the SEA special education division for approval and must meet a number of requirements, including compliance with EHA. In these States, local school districts can only place students in approved private facilities to be eligible for funding of these placements. The approval process may include an on-site visit, and approval is granted for a specified length of time, typically three years. In New Jersey private schools for the handicapped [illegible]lete a self-study report in advance of site visits by the State special education division staff during which the information provided in the report is verified. This self-study, site visit process is on a three-year cycle, in addition to annual submission of documents for continuation of approval.

In Illinois and Ohio, private schools are also subject to an approval process, but not by a procedure administered by the SEA special education division. In these States, approval is not necessarily granted for the operation of special education programs. Rather, these States have a general school approval process which includes private schools operating programs for handicapped students. In Illinois, however, private school placements are monitored when the LEA making the placement is undergoing its special education compliance review. Note that in Ohio, the use of private schools for the provision of special education programs is very rare. In Florida, private schools are also used rarely. While there is no formal school approval process, private schools in Florida must meet State Board of Education standards in order for LEAs to be able to contract with them for the provision of special education, and students placed in private facilities may be included in the individual student records review when the placing district is monitored.

In Louisiana, private schools are subject to special education compliance reviews during the time when the school district in which they are located is being monitored, although the issues examined are less specific. In South Carolina there is no general monitoring of private schools, but if an LEA requests to place a student in a private facility, the facility would be monitored for EHA compliance every three years while the student is in attendance.

3. Summary

Under Federal regulations, all States are required to conduct compliance monitoring reviews of all publicly-funded special education programs within the State, including those in separate facilities administered by State and local public, or private agencies.

Across States, the general procedures developed to comply with Federal requirements are very similar for all public agency programs, and are based on a cyclical process in which agencies are subject to a comprehensive compliance review by the SEA at specified intervals. This cyclical process, focused around an on-site review, is comprised of three phases: data collection and review, on-site validation review, and reporting and followup. The most variation among States is in the reporting and follow-up phase. Some States use this final phase of the monitoring process to provide extensive technical assistance geared toward program improvement. Other dimensions on which State monitoring procedures differ include the interval at which programs are monitored, the use of off-site reviews in years when on-site reviews are not conducted, the SEA division conducting the monitoring, the use of coordinated compliance reviews and the use of self-evaluations.

The process used to monitor private schools serving students with handicaps differs substantially. In particular, there is greater variation among States in whether approval of such facilities focuses on the unique type of program (special education) being offered and whether all such facilities are required to be monitored independently or primarily in conjunction with LEA monitoring.

In responding to the Survey of SEA Special Education Divisions, virtually all States (98%) agreed that monitoring has had its primary impact on ensuring that all special education programs are meeting minimum Federal and State regulations and that compliance reviews provide an opportunity to encourage program improvements. Even though the monitoring process does not generally address program quality, about half the States reported that the monitoring process was increasingly focusing on program content and instructional issues. States using a coordinated compliance review were less likely to report this change in the focus of monitoring than were States which monitor special education programs separately. Across all States responding to the Survey of SEA Special Education Divisions, the format and content of monitoring instruments and procedures, and the standards used in monitoring were reported as the most important factors in influencing the effectiveness of compliance monitoring systems.

SEA respondents reported that monitoring had had a positive impact across all special education programs, but especially in programs operated by other State agencies. Prior to implementation of P.L.94-142, the standards for special education programs operated by other State agencies were not usually consistent with LEA programs in most States. The most common difference was that teachers were not required to meet the same certification requirements and the SEA had no authority to require them to do so. Under the general supervision requirements of EHA, SEAs were granted a powerful tool for requiring other State agencies to meet SEA standards for special education programs, and hence for effecting change at these facilities. Although the case study States do not typically investigate program content or quality during their compliance reviews, many SEA respondents reported that program quality had improved most obviously in other State agency facilities with the changes brought about through compliance monitoring. The compliance monitoring process was also reported to be an effective method for identifying technical assistance needs which in turn can effect changes to service delivery and program quality.

III. SEA PROCEDURES: TECHNICAL ASSISTANCE, IN-SERVICE TRAINING, PROGRAM DEVELOPMENT, AND DISSEMINATION ACTIVITIES

A major role of State education agencies has traditionally been to provide local education agencies with information and assistance in solving administrative problems, in maintaining and upgrading staff expertise and skills, and in improving instructional programs and materials. EHA mandated a more systematic role of the SEA in planning and providing technical assistance, training, and information dissemination to the broad range of special education providers. The 1975 Federal legislation required that SEAs assess on a regular basis the need for program improvement and staff development and prepare a Statewide plan to address identified needs. These provisions of P.L. 94-142 recognized the unique capacity of the SEA to organize and implement such efforts and made funds available which could be used for them. Beyond those activities required by Federal regulations, States also typically engage in a variety of other activities designed to assist local education agencies and other special education providers to improve the educational services delivered to students with handicaps.

This chapter focuses on how States design and implement technical assistance, staff training, development of instructional materials or approaches, and compilation and dissemination of state-of-the-art information on programmatic issues. It describes the major ways in which these procedures vary across States and summarizes the types of impacts the procedures may be expected to have on separate facilities providing special education to students with handicaps.

A. PLANNING FOR PROGRAM IMPROVEMENT

All States are required to develop special education plans as part of their applications for EHA-B funds, and most use task forces or advisory committees to assist in the development of these plans, particularly in the area of personnel development. These task forces or advisory committees generally include representatives from higher education agencies, professional associations, parent groups and various components of the delivery system. In general, representatives of at least some types of separate facilities (private and/or State-operated) are included on these advisory councils.

Florida and Connecticut are examples of two States that use panels of experts and constituents to help formulate priorities for program improvement and evaluation activities in areas beyond personnel development. Florida's steering committees are composed of various experts and practitioners as well as SEA special education staff and are organized around specific program areas and/or handicapping conditions. Florida convenes a number of on-going steering committees once a year to provide broad direction for SEA activities in each program area, input into the development of resource manuals and other materials, and suggestions for special projects, task forces, and research studies. Task forces are also widely used in Florida. Task forces have a specific charge, usually to assess the need for specific action on the part of the SEA and to make recommendations. For example, one task force considered appropriate programming for multi-handicapped, particularly sensory impaired students who are also emotionally disturbed. This task force held five regional meetings across the State to hear from parents and local educators and visited programs in other States, before preparing its own concept paper and draft budget for a model program in Florida. Connecticut also uses ad hoc task forces to obtain the information necessary for formulating programmatic recommendations. One task force was convened to develop a plan to evaluate the impact of special education services on the development of mildly handicapped students.

Other States rely more on units or processes within the special education division to initiate plans and priorities for program improvement and evaluation efforts. In California, Louisiana, and New Jersey, for example, there are specific units with responsibility for planning, evaluation, and research within the special education division. In addition, New Jersey has a number of standing committees among its staff on areas of particular importance, for example, private schools for handicapped students, and conducts annual retreats in which members of the division meet to formulate goals for the division in the coming year.

States also vary in how they support local planning and evaluation activities. Some, like California and Florida, have developed formal plans and models for use at the local level. California has a Statewide system for local evaluation and the SEA requires all local districts and county offices, together or singly, to form special education local plan areas (SELPAs) and has trained LEA staff in program evaluation. Florida funded a special project to develop a guide for evaluating program quality and districts must include specific long-range evaluation plans in their applications for EHA-B entitlement funds. The Special Education Regional Resource Centers (SERRCs) in Ohio play a major role in gathering quantitative data on a number of planning issues including personnel development needs and transmitting this information to the SEA central office.

Local public agencies such as local school districts and regional boards of education are commonly required by the State educational agency to develop specific plans for training of special education personnel. Less likely to be required to develop their own personnel development plans are private schools and separate facilities operated by other State agencies. However, in New Jersey, private schools and the SEA-operated School for the Deaf are required to submit staff development plans. The unified school districts in the other State agencies operating separate facilities in Connecticut are also required to have such plans.

In summary, there are several major ways in which the case study States differ in the planning mechanisms used to identify issues or target areas for program improvement. Three (California, Louisiana, and New Jersey) have units within the special education division of the SEA with that responsibility, three others (Connecticut, Florida, and South Carolina) make extensive use of task forces or committees of experts including those in other State agencies serving persons with handicaps, and both California and Ohio rely upon a system of input from local education agencies to provide information on program needs across the State. However, although all States are involved in planning and setting priorities for program improvements, the manner in which the planning function is organized and carried out was not reported by State staff as having a major impact on the delivery of technical assistance and other support services to separate facilities.

B. SEA TECHNICAL ASSISTANCE AND INSERVICE TRAINING

Technical assistance and inservice training are distinct types of activities and for the purposes of this study were defined as follows:

- Technical assistance - the provision of information to address specific management or program issues identified by a facility or agency or by a monitoring agency, generally provided on site or by telephone consultation, occasionally through materials or in conferences or workshops
- Inservice training - the development of specific skills for teachers, other instructional or related services staff, or administrators, primarily through classes, seminars, conferences, and workshops

However, in practice there is a great deal of overlap between these two types of activities and States vary in whether they characterize similar activities or programs as technical assistance or inservice training. Therefore, this section discusses SEA technical assistance and inservice training activities together.

Following implementation of EHA, several case study States noted that a great deal of technical assistance and staff training was provided on compliance and procedural issues related to Federal law and regulations, particularly to local districts but also to State agencies operating separate facilities. States also generally report current efforts underway to place more emphasis on instructional issues rather than on procedural compliance. This shift in emphasis coincides with the educational reform movement and is consistent with reports by a number of States, noted in the earlier chapter on monitoring procedures, that monitoring is focusing more on instructional quality as procedural compliance is more assured.

Four factors are particularly important in describing SEA technical assistance and training activities:

- The role assumed by the SEA in coordinating and supporting staff development and technical assistance activities
- The link between the SEA's monitoring and technical assistance activities
- The use of resource/materials centers in the delivery of technical assistance and training
- The involvement of agencies and organizations other than the SEA in providing technical assistance and training to special education staff

1. Role of the SEA in Coordinating and Supporting Technical Assistance and Training

All States respond to specific requests for technical assistance and staff training from individual facilities to the extent possible within budget constraints and staff schedules. Illinois and California in particular encourage districts to hire specialists to address specific needs at the district and/or local facility level. Illinois ensures funding for these local initiatives by requiring that LEAs set aside five percent of their EHA-B entitlement grants for personnel development activities.

How special education divisions are organized can affect coordination and delivery of technical assistance and inservice training. Among the case study States, Connecticut and Florida have designated units within their special education divisions that plan, coordinate, and provide technical assistance and training. In the other States, these activities were shared among all or most of the staff, without the same degree of staff specialization. For example, in California, Louisiana, and New Jersey units or staff assigned to various regions of the State were routinely involved in responding to requests for technical assistance and training as well as being involved in other activities such as monitoring.

In the case study States, the involvement of the special education division in the direct provision of training was reported to take place primarily through Statewide or regional workshops or conferences. These workshops and conferences are generally focused on special education issues faced by local school districts rather than those particularly relevant to State and private agencies operating separate facilities. At least in the past, these workshops and conferences have often focused on procedural compliance rather than instructional issues. For example, Statewide conferences for special education administrators often deal with changes in reporting requirements, grant application procedures, and State and Federal regulations. Separate facilities, like other special education providers, are sent mailings or notification of upcoming events from the State agency or the Statewide or regional resource/materials center and can attend or not as they choose.

Because information on basic procedural issues is now widely disseminated and because of the emphasis on instructional issues most applicable to local district programs, administrators and staff from separate facilities, particularly those operated by private agencies and State agencies, often chose not to attend general SEA-sponsored conferences, as reported by SEA staff. However, most case study States make a special effort to conduct at least some conferences on issues of interest to separate facilities, as well as to special education staff in district programs. As an example of the collaboration between many SEAs and the State-operated schools for sensory impaired students in their States, the Illinois Special Education Division and the State School for the Visually Impaired co-sponsor an annual vision conference which presents state-of-the-art evaluation and instructional techniques for this low-incidence population. A similar annual conference is held by the New Jersey School for the Deaf for the deaf community, sponsored by the State Department of Education's Division of Direct Services, and the special education Learning Resource Center. Also in New Jersey, workshops have been conducted in response to specific requests from staff at separate facilities, for example on behavior management techniques. In another example, South Carolina holds special symposia on priority areas such as orthopedically handicapped students.

Florida also provides many examples of SEA-sponsored technical assistance and training activities that are likely to be of interest to staff at separate facilities. For example, recent offerings have included programs for teachers of severely and profoundly handicapped students, workshops on meeting the educational needs of medically involved children, weekends with experts on visual impairments, and summer institutes on speech and language services for the hearing impaired. Regular Statewide meetings are also held each year for local supervisors and coordinators of special education in each specialty or handicap area, in addition to workshops on administrative and regulatory issues.

2. Link Between Monitoring and Technical Assistance/Training

States vary in how compliance monitoring procedures are linked with the provision of technical assistance and training, as mentioned earlier in Chapter V. In some States technical assistance is provided by SEA staff primarily in preparing for monitoring visits, particularly on procedural and regulatory issues. Monitoring procedures in all States involve some kind of follow-up activity to ensure that compliance problems are rectified, but not all routinely provide follow-up technical assistance to assist districts and/or facilities to correct compliance problems noted during monitoring. Follow-up technical assistance on compliance issues is routinely provided in California and Illinois. It is available upon request in South Carolina, although the State is in the process of routinizing this link between monitoring and technical assistance. Ohio is an example of a State that places a high priority on providing recommendations for program improvements as part of monitoring and following these recommendations with technical assistance during the last stage of the monitoring process. The interaction between monitoring and technical assistance was seen as critical by SEA staff in Ohio in the success of their efforts to influence programmatic improvements in all special education programs, including those at separate facilities.

3. Role of Resource/Materials Centers

In most of the case study States, one or more special education resource/materials centers are funded by the SEA, with at least part of their mandate the provision of technical assistance and training. The variety of such centers is described below:

- Connecticut has a single Special Education Resource Center (SERC) which operates a materials center/library and provides weekly in-service activities for special education staff from across the State.

- Florida's eighteen-center Florida Diagnostic and Learning Resource System (FDLRS) serves every region in the State and includes several specialized centers which provide services Statewide.

- Illinois has a specialized instructional materials center for the visually impaired that is operated under contract by an LEA.

- The Louisiana Learning Resources System (LLRS) specializes in materials and inservice for the hearing impaired, visually impaired, and deaf-blind as well as other low-incidence populations.

- New Jersey's primary delivery agent for technical assistance and inservice training is the Learning Resource Center (LRC) system which has four branches throughout the State. The special education consultant at each branch works closely with State special education division staff in planning and developing workshops and technical assistance activities, which are coordinated through needs assessment based on the CSPD and monitoring.

- Ohio's sixteen Special Education Regional Resource Centers (SERRCs) include within them Instructional Resource Centers (IRCs) which plan and carry out inservice training and technical assistance on a regional basis; in addition, the Ohio SEA funds a Statewide IRC focused on low incidence and severely handicapped students.

California's Special Education Resource Network (SERN), before recent budget cuts, used local staff and consultants organized into thirteen regional units to deliver technical assistance and training; restoration of some of the cuts in funding apparently was not sufficient to revive this network. Also due to budgetary pressures, South Carolina no longer funds a resource/materials center in special education.

Services provided by the centers may include any of the following, many of which were reported to be particularly relevant to staff at separate facilities:

- Identification and assessment support or training services
- Maintenance/acquisition of materials (e.g., special education journals, directories of special education programs, curriculum, braille or large print books and audiovisual materials)
- Information on compliance/legal issues (e.g., development and use of IEPs or training/support in due process or procedural safeguards)
- Awareness training for general education teachers or administrators and coordination of general education and special education efforts
- Information and training on instructional strategies/techniques, classroom management, and promising practices/models or research
- Provision of/guidance in the use of various instructional technologies and materials
- Courses for continuing certification credit
- Referrals to other agencies for evaluation or support services
- Family/parent support
- Transition/life skills programs and vocational education programs

The unique functions of the centers, as distinct from activities in which staff in the SEA's special education division also routinely participate, tend to be materials collection, dissemination, and production. These activities are discussed in greater detail later in this chapter.

Indicative of the relative importance of these centers in the State's efforts to provide support to special education staff is the proportion of the EHA-B grant to the State that is allocated for funding of the centers (see Table IV.4). In both Florida and Ohio, where a large network of regional and Statewide resource/materials centers engage in a wide range of activities, the proportion of EHA-B funds allocated to the centers is about 18 percent of the State's total grant. For all States, the average is about 4 percent and the median is one percent. Of course, additional funds may be provided from other sources, including from State appropriations, although the case study States generally indicated that the majority of funds for these centers came from EHA-B grants.

4. Role of Other State, Regional, or Local Entities in Providing Technical Assistance and Training

In most States, other agencies or organizational entities provide technical assistance and training in special education, in addition to the SEA special education staff and the resource/materials centers. As mentioned earlier, many State-operated schools for hearing and/or visually impaired students, either independently or in conjunction with the SEA, offer their specialized experience and expertise to LEAs and to other providers of services to sensory impaired populations. The case study States generally also reported that other State agencies, particularly those dealing with mental retardation and emotional disturbance among children, provide technical assistance and inservice training to staff at their own facilities and potentially to staff at other facilities as well. Many of these services are internal programs developed to address specialized concerns related to the particular population served at facilities operated by the agency. Once established, however, the SEA may request the agency to provide specialized assistance to local districts or other facilities, usually in the form of workshops or conferences, assistance in individual student evaluation, and provision of specialized equipment and instructional materials.

In Connecticut, for example, there is a close working relationship between the special education unit of the SEA and the Department of Mental Retardation (DMR). SEA staff have often drawn upon the expertise of DMR staff on issues of education for the severely handicapped and early intervention strategies. Particularly at the time of the case study, when LEAs were assuming responsibility for school-age students formerly residing in DMR facilities, DMR staff were involved in technical assistance and in-service training for LEAs on curriculum development, the physical/medical needs of these students, and integration of related services personnel (e.g., occupational and physical therapists) into the total special education team.

Other specialized providers of services to handicapped students that may be frequently involved in technical assistance and training for LEAs and other programs include regional or intermediate educational agencies such as Connecticut's Regional Educational Service Centers. While these Centers primarily provide day services to districts within their region, each also has a Statewide mandate (such as migrant children education or adult special education) and provides some staff training and information dissemination services similar to those of the resource/materials center.

Some States use networks of experts from several sectors to provide such services. In Louisiana the Network of Personnel Serving Students with Low Incidence and Severe Handicaps includes university staff, staff involved in State-funded technical assistance projects, LEA staff, and SEA staff with specialized expertise and skills. The primary function of this network is to provide technical assistance to programs serving the targeted students, linking staff across the State who have similar problems and needs and making referrals to both in- and out-of-State technical assistance projects.

5. Summary

All States provide technical assistance and staff training services to special education providers through the SEA's special education division and generally also through other State agencies involved in the operation of separate facilities for children and youth with handicaps. The major differences in the delivery of these services across the case study States are summarized in Table III.1. These differences are in (1) the degree of specialization among State special education staff in providing technical assistance to providers, (2) whether the monitoring process involves a direct link with the provision of technical assistance, (3) whether a resource/materials center or system exists, and (4) the degree of regionalization and/or specialization of the resource/materials centers.

Two of these factors do not appear to affect the provision of technical assistance and training services to separate facilities differently than those to other facilities. All special education programs in a State have access

TABLE III.1

MAJOR DIFFERENCES AMONG CASE STUDY STATES IN TECHNICAL ASSISTANCE AND TRAINING

	SEA Staff Specialization in TA and/or Monitoring	Follow-up TA Linked with Monitoring	Organization of Special Education Resource/Materials Centers
California	Staff assigned to regions provide TA and monitoring	Automated tracking system; follow-up TA on compliance issues	13 regional units of resource network[1]
Connecticut	Special unit for TA	Follow-up TA available on request	Centralized center
Florida	Special unit for TA; Monitoring unit separate	Follow-up TA available on request	18 regional centers plus several State-wide centers
Illinois	All staff provide both TA and monitoring	Routine follow-up TA on compliance issues	Center specializes in visual impairments
Louisiana	Staff assigned to regions provide TA and monitoring	Follow-up TA available on request	Centers specialize in sensory and low-incidence impairments
New Jersey	Regional staff provide TA and monitoring of LEAs; central office staff assigned to regions provide monitoring of state-operated and private facilities TA provided by resource/materials center	Follow-up TA available on request	4 regional centers
Ohio	Staff provide TA and monitoring as unified activity	Routine follow-up TA on compliance and program improvement issues	16 regional centers plus one State-wide center
South Carolina	Staff provide TA and monitoring	Follow-up TA available on request	None

SOURCE: Information collected during site visits conducted in 1987.

[1] Recent budget cuts have eliminated this.

to SEA staff and to special education resource/materials centers. However, technical assistance and in-service training provided by SEA staff and resource/materials centers were generally reported to be of relevance most often to staff at local districts rather than separate facilities.

On the other hand, a routine link between monitoring and technical assistance in cases where separate facilities are monitored directly by SEA special education staff and specialization of the focus of resource/materials centers and SEA staff on programmatic issues associated with low incidence and severe handicaps were more likely to be reported to impact separate facilities.

C. PROGRAM DEVELOPMENT

Program development encompasses a broad range of activities undertaken by the special education divisions of State education agencies. These activities may include developing guidelines for student evaluation and planning of individual programs, instructional models or materials for particular subjects or categories of students, or resource manuals for local activities such as interagency networks. The SEA may also be involved in the development of standardized curricula, competency testing specifications, and graduation requirements for special education students in States where educational reform has mandated these for the general education system. As with other areas of SEA activities, the focus of program development efforts has generally been on special education programs operating with local school districts. However, some SEAs have also taken the lead in developing guidelines for severely or multiply impaired students who may be served in separate facilities.

Unlike the long-standing focus of SEA activities on technical assistance and training, program development has been less consistently emphasized as a major part of the State's mandate for special education. This may be due, at least partly, to the emphasis in some States on local autonomy in selection of instructional materials, content, and approach in the American educational system, although with the general education reform movement has come development of Statewide mandated curricula and materials. Among the case study States, there is considerable variation in the degree and type of SEA involvement in program development activities, as illustrated below:

- California has a Program, Curriculum and Training unit within the special education division but is not involved in developing Statewide curricula or instructional materials for special education. The division of State special schools, however, has developed program guidelines and a new curriculum for the State Schools for the Deaf.
- Connecticut also has only limited involvement in curriculum development, but has developed manuals on identification, referral, and general program guidelines for learning disabled and emotionally disturbed students. The SEA also funded the development by a regional education agency of a data-based model for program planning for severely handicapped students.
- Florida's Program Development unit within the special education division is organized by handicap group and its major emphasis in recent years has been on the expansion of State-mandated general education curriculum frameworks and performance standards to the special education system.
- Illinois has not been involved in curriculum development per se but has developed prototypes of forms for conducting such procedures as screening, placement, and re-evaluation of individual students.

- In 1981 Louisiana developed separate standards based on functional criteria from which special education teachers are required to teach with the SEA maintaining the right of approval of locally developed curricula and programs. Louisiana is also involved in developing a model system for interagency coordination of services to severely handicapped students.

- New Jersey does not have a mandated State-wide curriculum, but the Regional Curriculum Services Units have as their primary focus student testing and curriculum issues, although not specific to special education. Since handicapped students are required to take the mandatory high school graduation test except as exempted in their IEP, the RCSUs have targeted technical assistance on student testing and preparation to State facilities and private schools for the handicapped. In addition, there have been some special projects such as the development of assessment and evaluation guidelines for hearing impaired students.

- In Ohio, program development is addressed by the SERRCs and by the SEA staff who provide technical assistance during the monitoring process.

- South Carolina assembles task forces of program administrators to make programmatic recommendations on specific issues. Materials are being developed in certain areas such as social skill development for adolescents.

Based on these brief descriptions of State-level activities, States appear to have most often focused their program development efforts on helping LEAs identify, evaluate, and serve severely handicapped students and those with low incidence conditions.

Program development is a resource-intensive activity. It must begin with considerable staff input and expertise and requires additional effort to develop the consensus required within the education community before materials or approaches are accepted and used. In general, State divisions of special education, like most areas of State government, do not have the resources to initiate many program development projects in addition to their mandated functions of compliance monitoring, grants management, data processing and reporting, and response to requests for technical assistance and training support. Instead, resource/materials centers are reported to be the primary producers of specialized instructional materials among all the States (as noted in the section above).

However, the level of resources required by program development is not the only factor influencing these activities. The existence of Statewide mandated curriculum or graduation requirements for general education and the degree to which special education is integrated into these requirements appears to be a key factor in understanding SEA special education program development activities. Among the case study States, California, Connecticut, Florida, and Illinois have Statewide requirements for curricula for LEA general education programs; Florida and Louisiana have developed specific requirements for special education.

In Florida, as in many other States, more stringent and detailed curriculum and graduation requirements emerged as part of a general push for excellence. In the late 1970s compulsory testing showed low State averages compared to national norms. As a result, State-level testing was initiated for selected grades and a curriculum framework aimed at increasing consistency across the State was adopted. Corresponding student performance standards for exceptional students were developed later as a joint effort of the SEA, local school districts, and other members of the special education community. Special education students need the same courses for graduation as general education students, but modifications may be made in terms of:

- Increasing or decreasing instructional time
- Varying the mode of instruction
- The use of special communications systems
- Accommodating handicapping conditions in test administration or evaluation

In addition, a catalog of unique skills was developed to meet the instructional needs of exceptional students in developing living, social, learning and communication skills. The special education curriculum frameworks apply in separate facilities as well as in local public school programs.

In summary, the case study States vary in how extensively the SEA special education division or agencies related to it are involved in program development activities related to curriculum and instructional approaches. Table III.2 indicates that most States are not involved in these activities across the broad spectrum of handicapping conditions and that in Florida, where this is the case, it is a direct result of a mandate to apply Statewide curriculum requirements to the special education system. Thus, in most States instructional approaches at separate facilities, as well as at other special education settings, are not generally directly affected by SEA program development procedures.

D. DISSEMINATION

Dissemination of up-to-date information on special education regulations, procedures (such as identification, assessment, and development of IEPs),

TABLE III.2

MAJOR DIFFERENCES AMONG CASE STUDY STATES IN PROGRAM DEVELOPMENT

	State Mandate for Special Education Curriculum	Unit Within SEA Special Education Division
California	No	Yes
Connecticut	No	No
Florida	Yes	Yes
Illinois	No	No
Louisiana	Yes	No
New Jersey	No	No
Ohio	No	No; Delegated to Resource/Materials Centers
South Carolina	No	Task Forces

SOURCE: Information collected during site visits in 1987.

instructional and other classroom techniques (for instance, in behavior management), and educational materials and products to a wide variety of audiences, including staff at separate facilities, is a mandated activity for State education agencies under EHA. Among the case study States, the most frequent SEA-supported procedures for dissemination were publications or notices, collections of documents and equipment available for review and/or loan, and State-level workshops and conferences.

All States disseminate information on an as-needed basis via brief publications or notices, but the degree to which the process is formalized varies greatly from State to State. In California, Illinois, and South Carolina, for instance, no formal division of labor among State special education staff exists with regard to dissemination; any staff member may distribute materials and respond to information requests. In such cases, the other responsibilities assigned to individual staff members are likely to compete with time available for information dissemination. Two case study States, Florida and Louisiana, have specifically designated SEA staff whose job it is to facilitate the flow of information to regional and local entities. In Louisiana, for instance, one SEA staff member has been given responsibility for disseminating information through the Lanser electronic mail network, as a part-time assignment. Florida's Clearinghouse/Information Center has a full-time SEA staff member responsible for its activities, funded entirely by EHA-B funds. The Center has three functions: (1) maintenance of a lending library of instructional materials, specializing in films and Florida-developed materials, (2) dissemination of all materials developed for

Statewide distribution, including copies of publication and materials lists from the Center, and of any materials identified by the resource/materials center staff as of Statewide interest, and (3) development of curriculum and other materials, such as the curriculum for severely and profoundly handicapped students and a parent training package being developed jointly with the Educational Testing Service.

In States where resource/materials centers have the primary responsibility for technical assistance and training, they also usually have responsibility for dissemination activities as well. Five of the seven case study States (Connecticut, Florida, Louisiana, New Jersey, and Ohio) that reported utilizing centers for the delivery of technical assistance and in-service training also reported that these centers had major responsibility for dissemination within the State. Activities provided by these centers ranged from compiling and maintaining literature or instructional materials to conducting workshops. Some, like Connecticut's resource/materials center, publish their own newsletters to disseminate information on special education topics. All centers in the case study States are open to educators from all facilities and to the parents of handicapped children.

The Learning Resource Center (LRC) libraries in New Jersey are an example of a center-based dissemination system. Each center maintains approximately $800,000 worth of materials including A/V materials for in-service training, a production center (for posters and special classroom materials), and a curriculum lab where teachers can conduct computer searches and review curricula collected from both in-State and out-of-State programs. Individuals become members by paying an annual fee of two dollars. Members also receive a resource report, listings updates and abstracts of recent acquisitions and schedules for workshops. In addition, a mobile van delivers materials to facilities around the State. The resource/materials centers in Florida provide very similar services.

However, workshops and conferences are undoubtedly the single most important vehicle for direct SEA dissemination of information. Virtually all SEAs participate in the planning and delivery of workshops or conferences by setting the agendas, providing the funding or release time, and/or actually conducting of the workshops including locating or providing speakers and halls. Workshops and conferences are typically used for transferring state-of-the-art information on specific conditions, promising practices, or compliance related issues, as discussed in the earlier section on technical assistance and training. Among the case study States, the following topics, other than dissemination of information on changes in regulations and forms related to compliance, were mentioned as recently covered in Statewide or regional workshops:

- Instructional approaches specifically for severely or profoundly handicapped students
- Behavior management techniques
- Non-discriminatory identification or evaluation of students
- Programs for general education teachers to increase awareness of the needs of handicapped students and of instructional approaches that are successful in meeting those needs
- Planning and programming for life skills development and school-to-work transition

- o Creation of collaborative efforts between public and private educational and other agencies serving children and youth with handicaps

Separate facilities, like LEAs, are notified about these workshops and conferences, but participation was reported to vary greatly depending on the topic addressed.

As summarized in Table III.3, like program development, dissemination of information is not an activity generally assigned to specific staff or units within the SEA's special education division. The divisions generally provide this service through the efforts of individual staff. However, many States also allocate funds to their resource/materials centers specifically to collect special education information and materials and to ensure their availability to providers, including separate facilities.

E. SUMMARY

States, through the special education divisions of the SEA, are routinely involved in providing technical assistance, conducting training, and disseminating information to administrators and staff in special education programs Statewide, either directly or through organizations supported by SEA-administered funds. The involvement of the SEA in the development of curricula, instructional materials, and other products to be used in the delivery of special education services, other than forms and manuals on procedural or regulatory issues, is more variable across the States.

Overall, among the case study States, California and Florida (and Ohio if the coordinated monitoring-technical assistance effort is considered)

TABLE III.3

MAJOR DIFFERENCES AMONG CASE STUDY STATES IN DISSEMINATION

	Specific SEA Special Education Staff Assigned	Major Role Played by Resource/Materials Center
California	No	No
Connecticut	No	Yes
Florida	Yes	Yes
Illinois	No	No
Louisiana	Yes	Yes
New Jersey	No	Yes
Ohio	No	Yes
South Carolina	No	NA

SOURCE: Information collected during site visits conducted in 1987.

NA - No resource/materials center.

allocate more than half of their State special education staff resources to the full range of these support activities, as indicated in Chapter III. The other major differences among the case study States in the way in which they plan and provide technical assistance, training, program development, and dissemination services are:

- Specialization within the SEA special education division with specific staff assigned to organize and/or provide these services, with such specialization for at least some activities being found in California, Connecticut, Florida, and Louisiana
- Use of resource/materials centers funded by the SEA to provide these services, with wide mandates for these centers found in Connecticut, Florida, New Jersey, and Ohio
- Link between monitoring activities and provision of technical assistance, found to be closest in Ohio, but in most other States (California, Illinois, Louisiana, New Jersey, and South Carolina) the same staff are involved in both monitoring and technical assistance
- Existence of a State-mandated special education curriculum, in Florida and Louisiana

Independent of the specific approaches to these services, State respondents generally reported that they were a major vehicle for making improvements in the content and methods of instruction in special education programs in all settings. However, SEA staff acknowledged that the focus of many of these activities is on special education programs within local districts, and that the participation of separate facilities was highly variable. Therefore, the impact on the educational programs specifically at separate facilities was also expected to be variable, depending to a large degree on the participation by staff at the facilities in the opportunities provided by the SEA.

IV. SUMMARY OF STATE SPECIAL EDUCATION PROCEDURES

A primary goal of the Study of Programs of Instruction for Handicapped Children and Youth in Day and Residential Facilities was to describe procedures used by State educational agencies to improve the instructional programs at separate day and residential facilities. In meeting this goal, State-level case studies were conducted in eight States and a survey was conducted of the SEA special education divisions in all States and the District of Columbia to provide systematic data on the similarities and differences in SEA procedures nationally. These data collection activities obtained information on:

- The organizational structure of State special education systems, including patterns of use of separate facilities
- The special education procedures and practices of SEAs with regard to allocation of funds, educational standards, compliance monitoring, in-service training and technical assistance, and program development and information dissemination, particularly as these affected separate facilities

This chapter summarizes the variation found among State special education systems and describes for each of the SEA procedures examined, the influence on educational practice at separate facilities for students with handicaps to be examined in the facility-level case study analyses, reported in Part Three.

A. STATE ECONOMIC AND EDUCATIONAL CONTEXT

The pattern of special education service delivery as it exists today in a State has been influenced by the economic health of the State, the population of students served in the special education system, State special education and general education legislation, and the impact of interest groups, the courts, and other State agencies providing special education to handicapped children. While these factors have influenced state use of separate facilities, all have only an indirect impact on improvement to programs at separate facilities, as indicated below:

- Across States, there was no consistent relationship between State economic health and the approaches used to improve special education programs.
- Worsening economic conditions in specific States have made it difficult for them to undertake significant education initiatives, although economic difficulties have improved interagency cooperation in the provision of services to handicapped students.
- In States experiencing economic growth and development, special education programs have not always benefited, as some States have opted to focus increased availability of educational funds on general education reform programs.
- Increases in student population were reported to be a force in maintaining or increasing the use of separate facilities due to increasing demands for other educational environments.
- Special education legislation and general education reform initiatives have had little direct focus on programs in separate facilities at the time of the case study data collection in 1988.
- Court cases were reported to have played an influential role on policies affecting where students receive special education and related services, and advocacy group actions have made important contributions to improvements in programming at separate facilities.

B. STRUCTURE OF STATE SPECIAL EDUCATION SYSTEMS

The case study States exemplify a wide variety of special education systems. In some States, a multitude of local, intermediate, and State agencies are involved in the provision of special education services in separate facilities. In others, the special education system is comprised of a small number of State and regional agencies, while in others, special education in separate facilities is largely the responsibility of State agencies or consortia of districts. The organization of a State's special education system was associated with the number and type of students served in separate facilities but was not reported as a factor necessarily influencing programs in those facilities.

Each of the case study States has at least one independent division of the State education agency devoted to special education, and these divisions are typically organized by function (i.e., program services, compliance monitoring), in some cases within geographic regions, rather than by handicapping condition. The States also vary a great deal in terms of allocation of staff across functions. However, the organization of the special education division was not reported by the States as a major factor in how specific SEA procedures might affect program improvements in separate facilities. The links reported between the structure of a State's special education system and programs at separate facilities can be summarized as below:

- The strongest impact of SEA special education procedures was generally reported in local district programs, rather than in separate facilities operated by State or private agencies.
- In many cases, the jurisdictional barriers among State agencies operating separate facilities, particularly agencies with independent fiscal authority, have hampered State education agency efforts to bring about change in these facilities.
- The development of special interagency structures to facilitate coordination of educational services to handicapped students has improved the ability of SEAs to affect change in separate facilities operated by other State agencies.

C. SPECIAL EDUCATION FUNDING

The case study States use a wide variety of mechanisms to fund special education programs for students with handicaps, and the funding mechanisms tend to vary by facility operator. The only common funding method among case study States is that SEA-operated residential facilities are usually funded through direct State appropriation. Findings related to the impact of SEA funding procedures on separate facilities follow:

- The major impact of State funding procedures is in their capacity to influence the use of separate facilities through the implementation of funding incentives and disincentives.
- The methods used by States to fund special education placements have little impact on the programs offered by separate facilities.
- An important mechanism for States to impact programs in separate facilities is the availability of Federal funds (i.e., EHA-B set-aside and Chapter 1 of ESEA (SOP) funds) which can be used to implement State-established priorities and initiatives, or for the provision of support services. Federal funds are a major source of funds used for the extensive technical assistance and program improvement efforts undertaken through State-wide resource/materials center and provide seed money for pilot projects and evaluation efforts.

D. SPECIAL EDUCATION STANDARDS AND COMPLIANCE MONITORING

All States set educational standards in the areas of staff certification and program content in an attempt to affect the quality of education programs, but educational standards by themselves were not reported to be instrumental as agents of change to programs in separate facilities. Rather, the ability of the SEA to ensure implementation of standards through compliance monitoring was found to be an important technique for effecting change in separate facilities.

The compliance monitoring processes used by States is very similar, focusing on a cyclical process in which agencies are subject to a comprehensive compliance review by the SEA at specified intervals. States do not typically vary their monitoring procedures for special education programs in publicly operated separate facilities. The most variation among case study States in the monitoring process was in the reporting and follow-up phase. Other dimensions on which State monitoring procedures differ include the interval at which programs are monitored, the use of off-site reviews, the staff conducting the monitoring, the use of coordinated compliance reviews, and the use of self-evaluations. The monitoring process for private facilities differs substantially from the process used to monitor public agency programs, and only some States monitor private facilities separately from sampling and examination of individual student placements during LEA monitoring.

Regardless of the approach used to monitor the various types of agencies, the impacts of the monitoring process were found to be similar across States:

- o States agreed that monitoring is most useful for ensuring that all special education programs are meeting minimum Federal and State regulations, but also provides an opportunity to encourage improvements in special education programs.
- o States reported that the greatest impact of the monitoring process was in facilities operated by non-education agencies as the Federal monitoring and general supervision requirements provide States with a powerful tool for requiring other State agencies to meet SEA standards for special education programs.
- o Compliance monitoring is an effective method for identifying technical assistance needs which in turn can affect changes to service delivery and program quality.
- o The ability of compliance monitoring to influence program improvement was reported to be particularly effective in States with a strong link between the monitoring and technical assistance systems.

E. TECHNICAL ASSISTANCE, IN-SERVICE TRAINING, PROGRAM DEVELOPMENT, AND DISSEMINATION

All States are routinely involved in the provision of technical assistance, in-service training and information dissemination to administrators and staff in special education programs Statewide, either directly or through organizations supported by SEA-administered funds. The involvement of the SEA in the development of curricula, instructional materials, and other products for the delivery of special education services is more variable across the States. States also differ in the proportion of staff resources allocated to these support activities. Other major differences among the case study States in these areas are in the degree of specialization among State special education staff in providing technical assistance, the link between compliance monitoring and the provision of technical assistance, the existence and regionalization of resource/materials centers, and the existence of a Statewide mandated curriculum.

Regardless of the approach used to deliver technical assistance and training, program development and information dissemination activities, these support services were reported to be a major vehicle for making improvements in the content and methods of instruction in special education programs in all settings. In general, staff of separate facilities have access to the same technical assistance and training activities as other staff but the focus of most such activities is on special education programs within local districts; thus the participation of separate facility staff is highly variable. The impact of these procedures on separate facilities was expected to vary depending to a large degree on the participation level of staff from separate facilities.

F. SUMMARY

In summary, SEA procedures can affect both the placement of students in separate facilities and improvements to programs in such facilities, although in general these procedures are not designed specifically with regard to special education programs in separate facilities. The structure of State special education systems and the methods used to distribute funds for special education programs are important factors in influencing the placement of students in separate facilities. The State compliance monitoring system is one of the best methods available to States for identifying technical assistance needs, and the provision of technical assistance, in-service training, and to a lesser extent program development is seen as an effective method for initiating and supporting program improvements. The availability of Federal funds is important in assisting States to develop their capabilities for technical assistance, training, program development, and dissemination, particularly through EHA-B funds used for State resource/materials centers.

Table VII.1 summarizes the distribution of the case study States on the key elements expected to impact program improvement in separate facilities. These elements include the functional priorities of SEA staff as determined by staff allocation across functions, the use of Federal set-aside funds, the degree to which compliance monitoring is used to identify technical assistance needs, the involvement of SEA staff in compliance monitoring and technical assistance activities, and the existence of resource/materials centers which can provide technical assistance to separate facilities. For example, as shown on Table IV.1, across all State procedures examined in this study,

TABLE IV.1

DISTRIBUTION OF CASE STUDY STATES ON FACTORS POTENTIALLY IMPORTANT IN AFFECTING PROGRAM IMPROVEMENT IN SEPARATE FACILITIES

	State Procedures				
	Structure	Funding	Standards and Monitoring	Technical Assistance and Training	
State	Functional Priorities of SEA Staff	Use of Federal Set-Aside Funds	Link Between Monitoring and TA	SEA Staff Specialization	Existence of Resource Centers
California	Technical Assistance	Most provided as flow through to LEAS	Moderate	Regional staff provide technical assistance and monitoring	13 regional units of resource network[a]
Connecticut	Technical Assistance and Compliance Monitoring	Pilot projects and other activities	Moderate	Special technical assistance unit	Centralized center
Florida	Program Development, Technical Assistance, and Personnel Development	Resource Centers	Low	Special technical assistance unit; monitoring unit separate	18 regional centers plus several statewide centers
Illinois	Planning and Management, Compliance Monitoring	Resource Centers and other activities	Moderate	All staff provide both technical assistance and monitoring	Center specializes in visual impairments
Louisiana	Pupil Appraisal and Interagency Liaison	Competitive grants	High	Regional staff provide technical assistance and monitoring	Center specializes in sensory and low incidence impairments.
New Jersey	Planning and Management, Compliance Monitoring and Mediation	Most provided as flow through to LEAS	Moderate	Regional staff provide technical assistance and monitoring	4 regional centers
Ohio	Compliance Monitoring (including technical assistance)	Resource Centers	Very high	Staff provide technical assistance and monitoring as unified activity	16 regional centers plus one statewide center
South Carolina	Compliance Monitoring and Planning and Management	Most provided as flow through to LEAS	Low[b]	Staff provide technical assistance and monitoring	None

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[a] At the time of the 1987 site visit, budget cuts had eliminated this network. It may have since been restored.

[b] At the time of the 1987 site visit, revised procedures were being implemented which more closely linked the provision of technical assistance with monitoring.

Florida tends to focus on the provision of technical assistance. This is evidenced by the fact that the functional priorities of the SEA staff are program development and technical assistance. Federal set-aside funds are used primarily for the resource/materials centers, with 18 regional centers and several statewide centers which are involved in technical assistance activities; compliance monitoring activities are used to identify technical assistance needs; and there is a special technical assistance unit in the SEA which is separate from the compliance monitoring unit. Across the other case study States, there is less consistency in the emphasis placed on technical assistance, but the table indicates that California, Connecticut and Ohio also provide strong support in this area.

Despite the focus on technical assistance activities in a State, there are overriding contextual factors which will influence the ability of the SEA to affect programs in separate facilities. While the economic conditions of the State do not appear to be directly related to the ability of SEAs to implement improvements to programs, jurisdictional barriers among State agencies operating separate facilities, particularly agencies with independent fiscal authority, may hamper State education agency efforts to bring about change in separate facilities.

THE STUDY OF PROGRAMS OF INSTRUCTION FOR HANDICAPPED CHILDREN AND YOUTH IN DAY AND RESIDENTIAL FACILITIES

VOLUME III:
STATE EDUCATION AGENCY PROCEDURES AND EDUCATIONAL PRACTICE AT SEPARATE FACILITIES FOR STUDENTS WITH HANDICAPS

PART THREE: FACTORS AFFECTING EDUCATIONAL PRACTICE AT SEPARATE FACILITIES FOR STUDENTS WITH HANDICAPS

I. CHANGES IN STUDENT POPULATION AND MISSION AT SEPARATE FACILITIES

The Study of Programs of Instruction for Handicapped Children and Youth in Day and Residential Facilities was designed to examine changes in separate facilities since the implementation of P.L. 94-142 and to identify factors which affected changes in educational programs and instructional practices at separate facilities. There have been marked changes in the student populations at separate facilities since the passage of the Education of the Handicapped Act in 1975. Changes in the number and characteristics of students served at separate facilities were found in this study to be a major factor related to other changes in facility programming.

This chapter examines the changes over the past ten to twelve years in the populations of students with handicaps served in separate facilities using several data sources. The Survey of Separate Facilities conducted in 1988 provides national estimates of changes in the student population at separate facilities. Changes were measured in two ways: (1) by comparing data from the 1978-79 Office of Civil Rights Survey of Special Purpose Facilities with comparable data from the 1988 OSEP Survey of Separate Facilities for facilities surveyed in both studies, and (2) by analyzing retrospective reports for 1976, obtained on the 1988 Survey, from current administrators of facilities in operation in both 1976 and 1988. Information from the twenty-four case study facilities is used to expand upon the quantitative data about changes at separate facilities and to provide insight into the process and implications of changes in student populations.

A. CHANGES IN THE NUMBER OF STUDENTS SERVED AT SEPARATE FACILITIES

The Office of Civil Rights (OCR) conducted a study of State-operated and supported separate (or special purpose) facilities in operation during the 1978-79 school year. However, this study did not include all separate facilities, as evidenced by the difference between the total number of students served in the schools included in the OCR study (95,473) and the approximately 230,300 students in all separate schools and "other environments" (including institutions and residential schools) reported for the same time period by the States to the Federal Office of Special Education Programs (Office of Special Education, 1981). Also, between 1979 and 1988 various separate facilities have closed, while others have opened. Therefore, the OCR and OSEP survey samples do not overlap exactly, permitting comparable study of all facilities between the two points in time. However, 487 separate facilities were identified which had responded to both the 1978-79 OCR survey and the 1988 OSEP survey. These facilities are the focus of the following analysis of changes in numbers of students served over the past ten years.

Since 1979, the number of students served in the separate day facilities previously surveyed by OCR increased slightly (by 875 students or about 4 percent), while the number of students in separate residential facilities decreased dramatically (by 10,568 students or 24 percent). However, these changes were not evenly distributed across public and private facilities, as shown in Table I.1.

TABLE I.1

CHANGES IN NUMBER OF STUDENTS SERVED
IN SEPARATE FACILITIES SURVEYED IN 1979 AND 1988

	1979 OCR Survey[a]			1988 OSEP Survey[b]			% Change 1979 - 1988		
	Public	Private	Total	Public	Private	Total	Public	Private	Total
Day Facilities									
Total Number of Students Served	5,320	14,521	19,841	7,136	13,580	20,716	+34.1	-6.5	+4.4
Total Number of Facilities	50	142	192	50	142	192	50	142	192
Residential Facilities									
Total Number of Students Served	31,802	11,912	43,714	19,053	14,093	33,146	-40.1	+18.3	-24.2
Total Number of Facilities	163	132	295	163	132	295	163	132	295

[a]SOURCE: 1978-79 OCR Survey of Special Purpose Facilities.

[b]SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study for the Office of Special Education Programs.

NOTE: Because the facilities represented in this table were a nonrandom subset of the total population of facilities--that is, they were selected because they had previously been surveyed in the 1978-79 OCR Survey of Special Purpose Facilities which did not include the full universe of facilities in operation at that time--the statistics presented here are not based on weighted data and cannot be generalized to all facilities that may have been in existence since 1979.

- The public separate day schools in operation since 1979 had an increase of 34 percent in the size of their student populations, while private day schools showed a small decrease of about 6.5 percent. The major factors in the increases in the number of students served in public separate day schools reported by the case study facilities were general population increases in the local communities, expansion of programs for students with handicaps permitting them to be educated in regular schools within their local communities, and depopulation of large residential facilities.

Among separate residential facilities, the reverse pattern was found; the public residential facilities responding to both surveys lost 12,749 students (a decline of 40 percent) while private residential facilities gained 2,181 students (an increase of 18 percent). In particular, State-operated facilities have experienced a decline in their school-age populations as part of the deinstitutionalization movement and associated with the increased capacity of local public school programs to serve handicapped students. The aging out of a cohort of sensory impaired, particularly hearing impaired, students has also affected public residential schools. As will be seen in the next section, increases in the number of students served at private residential facilities are particularly evident for students with emotional disturbance.

B. CHANGES IN THE DISTRIBUTION OF HANDICAPPING CONDITIONS AMONG STUDENTS

The most important shifts in the nature of disabilities served in separate facilities, based on data from the facilities reporting in both 1979 and 1988 (see Table I.2), have been:

TABLE I.2

DISTRIBUTION OF STUDENTS BY PRIMARY HANDICAPPING CONDITION AT SEPARATE FACILITIES SURVEYED IN 1979 AND 1988

	1979 OCR Survey[a]			1988 OSEP Survey[b]		
	Public	Private	Total	Public	Private	Total
DAY SCHOOLS						
Mild/moderate retardation	64.3	17.5	30.0	21.0	11.5	14.8
Severe/profound retardation	18.2	4.9	8.4	58.6	8.0	25.5
Seriously emotionally disturbed	2.6	16.4	12.7	4.2	22.3	16.1
Learning disabled	1.5	17.6	13.3	0.1	12.0	7.9
Speech impaired	0.5	5.7	4.3	2.0	6.0	4.6
Deaf and blind	0.2	0.1	0.1	0.0	0.1	0.1
Orthopedically impaired	1.2	7.7	5.9	0.6	9.2	6.2
Visually handicapped	0.5	1.2	1.0	0.3	1.2	0.8
Deaf or hard of hearing	6.3	9.0	8.3	5.0	5.2	5.1
Health impaired	0.2	1.2	1.0	1.6	3.7	3.0
Multihandicapped	4.2	14.5	11.7	4.4	16.1	12.1
Other children	0.5	4.2	3.2	2.4	4.6	3.9
	100.0	100.0	100.0	100.0	100.0	100.0
RESIDENTIAL FACILITIES						
Mild/moderate retardation	9.6	10.4	9.9	3.5	5.0	4.1
Severe/profound retardation	37.3	2.5	27.8	21.3	4.8	14.3
Seriously emotionally disturbed	9.7	33.8	16.3	26.4	47.8	35.5
Learning disabled	0.1	7.2	2.0	0.9	6.4	3.2
Speech impaired	0.1	0.7	0.3	0.6	0.5	0.5
Deaf and blind	0.9	2.4	1.3	0.6	0.0	0.4
Orthopedically impaired	1.0	1.5	1.1	2.0	1.9	2.0
Visually handicapped	8.0	2.5	6.5	9.6	2.4	6.6
Deaf or hard of hearing	25.0	23.0	24.4	27.1	13.3	21.2
Health impaired	0.2	3.2	1.0	1.1	4.6	2.6
Multihandicapped	6.7	10.2	7.7	6.2	12.7	9.0
Other children	1.4	2.5	1.7	0.8	0.8	0.8
	100.0	100.0	100.0	100.0	100.0	100.0

[a] SOURCE: 1978-79 OCR Survey of Special Purpose Facilities.

[b] SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this Study for the Office of Special Education Programs.

NOTE: Because the facilities represented in this table were a nonrandom subset of the total population of facilities--that is, they were selected because they had previously been surveyed in the 1978-79 OCR Survey of Special Purpose Facilities which did not include the full universe of facilities in operation at that time--the statistics presented here are not based on weighted data and cannot be generalized to all facilities that may have been in existence since 1979.

- Decreases in the proportion of students in separate facilities who have mild or moderate mental retardation, particularly in public separate day schools but in other types of separate facilities as well
- Increases in the proportion of severely or profoundly mentally retarded students in public separate day schools, paralleled by decreases in the proportion of such students in public residential facilities
- Increases in the proportion of students with emotional disturbance or behavior problems among the students at all separate schools, but particularly at private day schools and both public and private residential facilities
- Decreases in the proportion of students with hearing impairments in private schools.

Based on these data, it appears that day schools, which were primarily serving students with mild or moderate mental retardation in 1979, were by 1988 primarily serving students with severe or profound mental retardation. The decreases in the numbers and proportions of students with mental retardation in residential facilities are associated with the efforts to reduce the total population, and particularly the school-age population, in large public residential institutions (White et al., 1988). At the same time, rapid increases have been noted generally in the placement of children and youth in psychiatric facilities (Darton, 1989), while demographic trends, in particular the aging of hearing impaired students affected by the rubella epidemic, have been associated with the decreases in the number and proportion of hearing impaired students.

C. CHANGES IN SEVERITY OF IMPAIRMENT AMONG STUDENTS AT SEPARATE FACILITIES

As expected from the changes in the types of handicapping conditions served, separate facilities generally reported an increase in the overall severity of impairment among their students compared to students in 1976, based on the retrospective reports of administrators surveyed in 1988 (see Table I.3). While this increase in severity of impairment was reported by the majority of all types of separate facilities, both public and private and day and residential, public facilities and residential facilities were more likely to report more severely involved students now than in the past. Overall, very few facilities reported that their students were less severely impaired.

The experience of the case study facilities suggests that increases in the incidence of secondary or multiple handicaps among students at separate facilities may at least partially account for the increase in severity of impairment. Specific changes in student characteristics mentioned by case study facilities included:

- Inclusion of deaf-blind students at some State facilities for sensory impaired students, although other such facilities reported a decrease in these students, in one case because the State's program for deaf-blind students was now operated by an LEA

- Increases in the number of students with orthopedic impairments in addition to their primary handicap, mentioned by several facilities, including State residential facilities for sensory impaired students

- Decreases in the number of mildly and moderately retarded students, particularly those without other significant impairments

- Increases in mentally retarded students who were medically fragile and technology-dependent

TABLE I.3

REPORTED CHANGE IN SEVERITY OF IMPAIRMENT OF STUDENT POPULATIONS OF SEPARATE SCHOOLS OPERATING IN 1976 AND 1988

	Mild/Moderate Mental Retardation	Severe/Profound Mental Retardation	Emotional Disturbance	Multiple Handicap	Total
DAY SCHOOLS					
Public					
More severely handicapped	72.4	66.0	*	*	66.6
About the same	25.3	32.2	*	*	28.6
Less severely handicapped	*	*	*	*	4.8
Private					
More severely handicapped	52.6	78.5	60.7	63.8	54.0
About the same	34.0	*	19.0	27.3	30.4
Less severely handicapped	*	*	20.3	*	15.6
All Day Schools					
More severely handicapped	66.6	69.2	65.6	64.6	61.4
About the same	27.8	27.2	22.5	30.4	29.4
Less severely handicapped	5.5	3.6	11.9	*	9.2
RESIDENTIAL SCHOOLS					
Public					
More severely handicapped	*	89.0	74.1	*	82.5
About the same	*	6.6	19.3	*	13.2
Less severely handicapped	*	4.4	*	*	4.3
Private					
More severely handicapped	*	77.8	73.7	*	71.2
About the same	*	13.9	24.5	*	23.9
Less severely handicapped	*	8.3	1.8	*	4.9
All Residential Schools					
More severely handicapped	*	85.1	73.8	88.1	75.2
About the same	*	9.1	23.5	*	20.1
Less severely handicapped	*	5.7	2.7	*	4.7

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

NOTES: Data for this table were reported by 954 of the 984 facilities in the day school sample and 499 of the 514 facilities in the residential facility sample that reported they were open in 1976.

* Indicates estimates for which sample size is judged insufficient to permit reliable statistical inference. In addition, where the percentages reported are zero or 100, it is not possible to calculate sampling variances using standard methods.

Other changes in the handicapping conditions among students mentioned by the case study facilities were an increase in the number of students with autism, in abused developmentally disabled children who had developed emotional problems requiring residential treatment, in emotional disturbance among visually impaired students, and in behavioral problems among students with mental retardation.

D. CHANGES IN OTHER CHARACTERISTICS OF STUDENTS AT SEPARATE FACILITIES

Nationally, separate facilities reported only small differences between their 1979 and 1988 student populations in terms of age or racial and ethnic distributions (see Table I.4). However, reports by current administrators indicate that separate day facilities are serving more students in the birth through 5 year age range, particularly in public separate day schools (see Table I.5). Factors for similar changes among the case study facilities included an increased emphasis on early intervention and the availability of public funding for such programs. Among residential facilities, there appears to have been little change in the pre-school aged population, but a higher proportion of students are age 18 or older, due in large part to the decline in the proportion of residential populations of school-age (age 6 through 17). This decline was particularly notable in facilities serving mentally retarded persons, associated with the deinstitutionalization movement. Case study facilities operating private residential programs serving students with emotional disturbance noted that they were receiving more referrals in mid to late adolescence when more severe behavioral or functional problems become manifest in school and community settings.

TABLE I.4

DISTRIBUTION OF STUDENTS BY GENDER AND RACE OR ETHNICITY AT SEPARATE FACILITIES SURVEYED IN 1979 AND 1988

	1979 OCR Survey[a]			1988 OSEP Survey[b]		
	Public	Private	Total	Public	Private	Total
DAY SCHOOLS[c]						
Gender						
Male	57.5	63.8	62.1	61.5	65.6	64.5
Female	42.5	36.2	37.9	38.5	34.6	35.5
	100.0	100.0	100.0	100.0	100.0	100.0
Race						
White	88.8	77.1	80.5	90.6	71.3	76.9
Black	6.7	15.0	12.6	6.2	17.9	14.5
White or Black Hispanic	3.0	5.2	4.5	2.4	7.0	5.7
Asian or Pacific Islander	1.2	2.3	2.0	0.1	3.4	2.5
American Indian or Alaskan Native	0.5	0.4	0.4	0.8	0.3	0.5
	100.0	100.0	100.0	100.0	100.0	100.0
RESIDENTIAL FACILITIES[d]						
Gender						
Male	59.5	62.9	60.8	60.7	68.6	63.7
Female	40.5	37.1	39.2	39.3	31.4	36.3
	100.0	100.0	100.0	100.0	100.0	100.0
Race						
White	73.4	82.5	77.0	71.3	77.3	73.6
Black	19.2	13.4	16.9	19.8	14.5	17.8
White or Black Hispanic	4.4	3.3	4.0	5.1	5.4	5.2
Asian or Pacific Islander	1.7	0.6	1.3	2.1	1.7	1.9
American Indian or Alaskan Native	1.3	0.2	0.9	1.8	1.1	1.5
	100.0	100.0	100.0	100.0	100.0	100.0

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[a] SOURCE: 1978-79 OCR Survey of Special Purpose Facilities.

[b] SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study for the Office of Special Education Programs.

[c] Data on gender were provided by 154 facilities in both 1979 and 1988; data on race were provided by 146 facilities in both 1979 and 1988.

[d] Data were provided by 254 facilities in both 1979 and 1988.

NOTE: Because the facilities represented in this table were a nonrandom subset of the total population of facilities--that is, they were selected because they had previously been surveyed in the 1978-79 OCR Survey of Special Purpose Facilities which did not include the full universe of facilities in operation at that time--the statistics presented here are not based on weighted data and cannot be generalized to all facilities that may have been in existence since 1979.

TABLE I.5

AVERAGE LENGTH OF ENROLLMENT AT SEPARATE FACILITIES

	Mild/Moderate Mental Retardation	Severe/Profound Mental Retardation	Emotional Disturbance	Hearing Impairment	Multiple Handicap	Total
DAY SCHOOLS[a]						
Public						
0-5 years	*	8.3	*	*	*	4.7
6-17 years	*	-10.7	*	*	*	-5.3
18-21 years	*	2.4	*	*	*	0.6
Private						
0-5 years	-0.6	3.5	-1.0	*	*	3.5
6-17 years	-8.3	0.3	2.5	*	*	-5.1
18-21 years	8.9	3.8	-1.5	*	*	1.6
All Day Schools						
0-5 years	3.1	7.1	-0.1	*	7.6	4.2
6-17 years	-7.7	-8.0	2.3	*	-8.4	-5.2
18-21 years	4.6	0.9	-2.2	*	0.4	1.0
RESIDENTIAL FACILITIES[b]						
Public						
0-5 years	*	-4.3	0.4	*	*	-2.2
6-17 years	*	-14.2	-2.3	*	*	-11.8
18-21 years	*	18.5	1.9	*	*	14.0
Private						
0-5 years	*	*	-0.6	*	*	0.9
6-17 years	*	*	1.2	*	*	-7.8
18-21 years	*	*	-0.6	*	*	6.9
All Residential Facilities						
0-5 years	*	0.4	-0.5	-0.8	-2.5	0.0
6-17 years	*	-24.4	0.8	-1.3	-9.1	-9.0
18-21 years	*	24.8	-0.3	0.5	11.6	9.0

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

[a] Data for this table were reported by facilities with 38,942 of the 107,036 students (unweighted) in facilities that reported they were open in 1976.

[b] Data for this table were reported by facilities with 12,839 of the 50,066 students (unweighted) in facilities that reported they were open in 1976.

* Indicates estimates for which sample size is judged insufficient to permit reliable statistical inference. In addition, where the percentages reported are zero or 100, it is not possible to calculate sampling variances using standard methods.

E. CHANGES IN FACILITY MISSION

In response to changes in their student populations, some separate facilities have made changes in their general approach or mission. The case study facilities provide several examples of such changes. For example, some residential facilities have added partial day treatment programs for emotionally disturbed students, while other types of facilities have added adult programs. The expansion of services in these areas reflects a change in emphasis in the field of special education generally toward community-based rather than residential programs and toward expanded training for adult disabled persons.

In addition, in some residential facilities, particularly State-operated facilities, special education services are no longer provided by facility staff but are provided either on- or off-campus by the local public school district. Across the nation, about 23 percent of State-operated residential programs for severely or profoundly mentally retarded persons and 10 percent of State-operated programs for emotionally disturbed students do not include the costs of educational services in their operating budgets. Overall, among all State-operated residential programs about 15 percent did not include the cost of providing educational services to school-age residents in their operating budgets. In the vast majority of cases the local school district or an intermediate education unit provides special education to students residing in those institutions.

Separate facilities have also built upon their expertise by providing information, technical assistance, and training to other agencies and providers in their States. This has been particularly the case for State residential schools for sensory impaired students, but was noted by private schools as well. Specific examples of the types of outreach services provided by the case study facilities included:

- Assisting in the evaluation of students with severe impairments
- Conducting workshops and seminars for LEA staff both on the campus of the facility as well as in local districts
- Cooperating with the SEA, professional associations, or other groups to hold State-wide conferences on state-of-the-art instructional approaches and other topics of interest to educators of severely impaired students and students with specific disabilities
- Maintaining up-to-date expertise on technological innovations in computers and other instructional devices, and providing assistance in selecting, implementing, and/or modifying such technology to staff in other programs for sensory impaired students
- Providing support and training to parents of sensory impaired children, particularly through early intervention programs and parent-infant workshops

F. SUMMARY

The numbers and characteristics of students served in separate facilities since the latter half of the 1970's, just after passage of P.L. 94-142, have changed substantially. Public separate day facilities have increased the number of students they serve, while the number of students in public residential institutions has decreased. Among private facilities, day schools have seen a modest decrease in number of students while residential schools have increased in size. Students with mild or moderate mental retardation are a smaller proportion of the students in separate facilities, particularly in public facilities, while students with emotional disturbance form a larger component of the population of separate schools. Separate day schools have expanded their services through parent-infant, early intervention, and preschool programs to handicapped children from birth through age five. In both day and residential separate facilities, the proportion of older students, age 18 through 21, has increased because of later referrals and longer lengths of stay associated with more severe impairments as well as decreases in the proportion of traditional school-age (6 through 17) students served.

Probably the most important factor reported by separate facilities to be associated with these changes in the student populations served at separate facilities was change in the orientation and programming of other providers in the special education system. Most often mentioned were changes in policy and capacity among local educational agencies, resulting in more students being served in the public schools who would formerly have been among the less severely impaired students at the separate facilities. This in itself has resulted in an increase in the average severity among current students at those facilities. The deinstitutionalization movement, which has led to a decline in the number of residents at State-operated facilities and a concomitant increase in students for at least some separate facilities operating smaller, usually day, programs, was also frequently mentioned as a factor in changes in the number and characteristics of students at the case study facilities.

As students with less severe impairments who may have formerly been placed in separate facilities are more often being served in local public schools, separate facilities have faced an increase in the proportion of students with multiple handicaps of many kinds, students with greater needs for functional and/or vocational rather than academic instruction, and students from families where dysfunction and/or socioeconomic circumstances may have aggravated the limitations in their children's development. For some, this has resulted in a conscious effort on the part of the facility to expand services to more severely impaired students, to students with significant secondary handicaps, and to students with handicaps not formerly served by the facility. Certain facilities have also developed their capacity to share the expertise and experience of their staffs and the instructional materials and equipment they have available with local educators, with parents, and with other service providers.

II. FACTORS AFFECTING FACILITY PROGRAMS AND METHODS OF INSTRUCTION

Over the past several decades Federal legislation has both initiated and reflected changes in general social values affecting programs for persons with disabilities. In American society, providing access to education is a public responsibility, affording each individual the opportunity to develop his or her potential and contribute to the society's well-being. P.L. 94-142 established the fundamental right of all school-aged children with handicaps to a "free appropriate public education" guided by written educational plans developed specifically for each individual child (Section 602). Section 626 of P.L. 98-199 (the 1983 Amendments to EHA) recognized that much more needed to be done for all handicapped students in this regard and expanded provisions for individualized instruction, instruction in practical daily living/socialization skills, vocational education, and transition programming.

This chapter focuses on the use of individualized education and transition plans and programs for students at separate facilities, the development or adoption of new instructional approaches for special education programs, and program evaluation activities. This chapter also describes the factors reported to be influential in facility changes in these areas of facility practice.

A. INDIVIDUALIZED EDUCATION AND TRANSITION PLANS

One of the central requirements of P.L. 94-142 was the development and periodic re-evaluation of individualized education plans (IEPs) for each handicapped student. This requirement received considerable attention in the first years after the passage of EHA through SEA monitoring and technical assistance activities. It is not surprising then to find that, nationally, virtually all (99 percent) separate facilities now routinely monitor student progress against the IEP and conduct annual or more frequent re-evaluation or revisions of the IEP. The national data from the Survey of Separate Facilities also indicate that separate facilities experienced considerable change after 1976 in the use of individualized approaches to educational programming (see Table II.1). Increases in the provision of individually tailored educational programs and the monitoring of individual educational progress were reported by more than 85 percent of separate facilities, whether day or residential, public or private.

Unlike the IEP which was required beginning in 1976 for all students with handicaps under P.L. 94-142, specific plans for individual students to facilitate their move from one educational setting to another or from the educational system to the adult social service system and community life are of more recent origin. Transition planning has become increasingly important as more and more handicapped students are likely to have a series of placements before leaving school and entering the community. National estimates, from the Survey of Separate Facilities, for the average length of stay in a particular separate facility are 6.4 years for students in day programs and 4.2 years for students in residential facilities (see Table II.2). Across handicapping conditions, the average length of stay in facilities for students with emotional disturbance is much lower than the average for day or residential programs for students who are mentally retarded or have sensory impairments.

TABLE II.1

PERCENT OF ADMINISTRATORS AGREEING WITH STATEMENTS REGARDING CHANGES IN USE OF INDIVIDUALIZED EDUCATION PLANS

	As compared with 1976,	
	the facility provides more individualized program planning	the facility monitors individual educational development more closely
DAY SCHOOLS		
Public	87.7	92.0
Private	89.6	85.6
Total	88.8	89.3
RESIDENTIAL FACILITIES		
Public	97.3	96.0
Private	92.5	91.2
Total	94.1	93.0

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Tables II.5 and II.6 in Part Three of Volume II for more detailed breakdowns.

TABLE II.2

AVERAGE LENGTH OF ENROLLMENT AT SEPARATE FACILITIES

	Learning Disability	Mild/Moderate Mental Retardation	Severe/Profound Mental Retardation	Emotional Disturbance	Multiple Handicap	Total
Average Length of Enrollment in Day Facilities (Years)	3.6	8.6	9.9	2.7	6.7	6.4
Average Length of Stay of Enrollment in Residential Facilities (Years)						
Day Students	*	*	4.9	1.6	*	4.1
Residential Students	*	*	6.4	1.8	*	4.2

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

NOTES: Average length of enrollment was asked with regard to students leaving the facility during the previous three years.

* Indicates estimates for which sample size is judged insufficient to permit reliable statistical inference. In addition, where the percentages reported are zero or 100, it is not possible to calculate sampling variances using standard methods.

Nationally, among students age 17 or younger leaving separate facilities, over 80 percent enter another educational setting, with less than one-quarter of exiting students continuing their education in another separate setting (see Table II.3). Naturally, among students age 18 or older who leave separate facilities, fewer continue in an educational program. About two-thirds of older students leaving separate facilities enter into some type of vocational preparation program (college or vocational training), into sheltered or supervised work (including day activity centers), or competitive work (see Table II.4). Some moderate proportion either have no new placement or program planned for them, or none that is known to the staff at the separate facility, as they leave.

Parents, educators, advocates, and handicapped persons themselves are especially concerned with the lack or paucity of training, residential, and other support services for handicapped adults and with the difficulties in arranging and maintaining these services where they exist. Nationally, while large proportions of separate facilities report an increase since 1976 in their ability to find appropriate placements for students leaving their programs, a substantial number (about 30 percent) continue to encounter serious problems securing residential, educational, and vocational arrangements for students (see Table II.5).

TABLE II.3

NEW DAYTIME PLACEMENTS OF 1987 SEPARATE SCHOOL RELEASES AGE 0-17 YEARS

(Percent of Releases Age 0-17 Years)

New Daytime Placement	Day Schools	Residential Facilities
Regular Class (with or without resource room)	19.0	22.9
Special Class in Regular School	42.5	37.5
Special Day School	16.3	7.7
Residential School	5.1	15.7
College/University Degree Program	0.5	0.6
Home-Based Instruction	1.5	1.4
Competitive Work	1.9	1.3
Supported/Subsidized Work	0.2	0.1
Sheltered Employment	1.7	0.3
Day Activity Center	0.6	0.4
Vocational Training	1.4	2.9
No Placement or Program	3.9	2.4
Unknown	5.6	6.9
TOTAL RELEASES AGE 0-17 YEARS	100.0	100.0

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Tables IV.10 and IV.11 in Part Two of Volume II for more detailed breakdowns.

TABLE II.4

NEW DAYTIME PLACEMENTS OF 1987 SEPARATE SCHOOL RELEASES AGE 18-21 YEARS

(Percent of Releases Age 18-21 Years)

New Daytime Placement	Day Schools	Residential Facilities
Regular Class (with or without resource room)	2.7	3.5
Special Class in Regular School	8.5	5.6
Special Day School	4.0	7.2
Residential School	2.2	5.0
College/University Degree Program	3.1	12.1
Home-Based Instruction	0.9	0.3
Competitive Work	12.2	10.9
Supported/Subsidized Work	5.5	5.7
Sheltered Employment	24.3	9.7
Day Activity Center	12.7	12.9
Vocational Training	7.2	15.0
No Placement or Program	10.8	3.4
Unknown	6.0	8.7
TOTAL RELEASES AGE 18-21 YEARS	100.0	100.0

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Tables IV.12 and IV.13 in Part Two of Volume II for more detailed breakdowns.

TABLE II.5

PERCENT OF SEPARATE FACILITIES REPORTING CHANGES AND VERY SERIOUS PROBLEMS IN SECURING APPROPRIATE PLACEMENTS FOR EXITING STUDENTS

	Day			Residential		
	Public	Private	Total	Public	Private	Total
Increase since 1976 in ability to secure appropriate placements	70.6	71.8	71.0	72.2	66.8	68.6
Current very serious problems in securing appropriate residential placements	NA	NA	NA	36.5	34.4	35.1
Current very serious problem in securing appropriate educational or vocational placements	30.4	26.5	29.1	29.2	31.5	30.8

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

NA = Not Applicable

1. Transition Planning

Attempts to anticipate and overcome problems in transition have led to the use of specific plans for student transitions, particularly to assist in the move from the educational system into the adult world.[1] These plans are more and more likely to be required as part of or adjunct to IEPs, and can include goals for student behaviors and skill acquisition that would signal readiness for a move to a less restricted setting, plans for gradual introduction into new settings, and efforts to coordinate the support system in new settings.

While there are no national data on the use of transition plans for students at separate facilities, the case study facilities indicated that such formal written transition plans are fairly widely used; two-thirds of the case study facilities noted that they currently develop such a plan, either as a separate document or as part of the IEP, as students prepare to leave the facility. However, among separate facilities serving students with emotional disturbance only about half had formal plans, while nearly all of the case study facilities for mentally retarded or sensory impaired students had such plans. The difference in the use of transition plans is correlated with the next placement of most students leaving each type of facility; in most cases emotionally disturbed students leaving separate facilities return to the public school, while most leaving facilities for emotionally disturbed or mentally retarded students do so as they age out of the educational system and enter the adult world. More formalized planning is often required to negotiate the more complex set of issues that may be facing such students, including finding alternative residential arrangements and appropriate employment and training opportunities. Case study facilities for students with mental retardation or sensory impairments noted the need to begin planning for community-based services well before the student was expected to leave the facility. Besides the development of written transition plans, other planning activities mentioned by the case study facilities included working with parents to set goals for new placements and having routinized evaluations of student readiness for transition. A few facilities set up formal transition teams for planning and evaluation or designated a staff member to coordinate transition planning and programming.

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[1] The Education of the Handicapped Act Amendments of 1983 contained expanded provisions for transition programs for students with handicaps. The Office of Special Education Programs was authorized to make grants to educational agencies and institutions to strengthen and coordinate education, training, and related services for handicapped youth to assist in the transition to post-secondary education, vocational training, competitive employment, continuing education, or adult services.

The facilities reporting that during the period since 1975 formal facility procedures for transition planning had been instituted most often served either emotionally disturbed students or students with mental retardation. Half of the facilities now using formal transition plans noted that SEA requirements were a major reason for instituting these plans. Attention paid in SEA monitoring to transition plans and the influence of SEA technical assistance, training, or information on transition planning, including manuals, guidelines, and forms for developing and documenting individual transition plans were cited as specific SEA procedures affecting change. One facility reported that special grant funds had been made available through the SEA-supported recourse/materials center to develop transition planning materials and processes, and other facilities gave credit to funding provided through other State sources.

The facilities reporting that they had become increasingly involved in planning well in advance of the student's leaving the facility for residential placements, employment or training, and other support services were also responding to SEA influence. In the two cases, the SEA either had a requirement for such pre-planning activities or strongly encouraged them. In one facility, staff members took the initiative in the development of the plans based on SEA encouragement, but did not receive any direct support from the SEA. In the other, an SEA-sponsored conference had provided needed information and ideas.

Several facilities more involved in formal transition planning attributed this change to the increased needs of the more severely impaired students and also noted that their staff took the initiative in responding to those needs. The primary reason given by facilities that now conduct informal planning for transition was also staff response to more complex problems in planning post-facility placements presented by students with more severe impairments. In addition, some facilities for mentally retarded students made note of the greater effort involved in transition planning and locating post-facility placements due to the increased severity of the handicaps among the students, although their specific approach to transition planning had not changed.

The case study facilities with more student and/or parent involvement in transition planning reported that facility staff recognized the increasing need for such efforts as the nature of students' problems were now more severe and pervasive, although one also noted a State requirement for parent participation in exit planning. Another example of the combined influence of SEA procedures and student population factors was the facility with an on-campus diagnostic classroom developed in the period since 1975. This approach was developed in response to changing student needs and aided by the availability of resources based on the higher funding formula for the multi-handicapped students now enrolled in its program.

2. Transition Programs

The line between planning and programming for transition is not distinct, and among the case study facilities, where this issue was explored in depth, it was reported that the most effective approach is a combination of both. The procedures used by one private residential facility for emotionally disturbed students provide an example of a transition approach incorporating both planning and programming aimed at enabling students to successfully return to a community-based school environment. Teachers at this facility recommended students twice a year for transitioning. A team meeting was then convened in which school administrators and a support group planned a program to support mainstreaming. Usually the program included placement in the transition classroom at the separate facility for some period and then in classes at the local public school. There was a staff member assigned the responsibility of working with the local public school as well as a tutor to help with academics. In addition, students anticipating transfer from the facility participated in a support group. The group met a minimum of four times to discuss the students' concerns and fears about returning to the public school environment and therapists helped students develop appropriate coping strategies. Once the student left the facility and returned to his or her home and school, an "aftercare" worker from the facility continued to monitor the student's progress and was available to provide support to the student, the parents, and the school as needed over a period of several months.

Overall, case study facilities serving students with emotional disturbance focused specific transition training and/or practice in the skills and behaviors required in the anticipated next educational placement. In some cases, this training took place within a special transition classroom in which students were required to meet the kinds of expectations for behavior and academic performance they would encounter in a public school setting. In other facilities, students were placed in a public school environment, under supervision of the facility staff, as part of the assessment for release from the facility and training for return to their home communities and schools. Another model for such transition experiences used by other facilities was to place students in local public schools for one period initially and then add periods as students were successful in meeting their behavioral and other objectives, until they were fully transitioned into the public school program.

Nationally, certain transition practices are nearly universal among separate facilities, including transfer of student records to the new school and involvement of parents in planning for the student's transfer (see Table II.6). Joint planning with the student's local school district is also very common. The requirement of P.L. 94-142 for parental involvement in decisions regarding educational placements and for local district oversight

TABLE II.6

PROVISION OF SERVICES BY SEPARATE SCHOOLS TO EXITING STUDENTS

(Percent of Schools)

Services to Exiting Students	Day Schools	Residential Facilities
Arranging transfer of records to new school	96.9	98.4
Visiting new placement with an exiting student	75.4	76.7
Training in skills/behavior specifically required in new placement	76.9	74.9
Involving parents in planning and preparation for transfer to new placement	95.3	95.8
Follow-up to monitor success of new placement	70.3	72.6
Joint planning with the LEA for transition	83.8	85.1
Providing back-up or additional services after new placement	57.1	68.3
Providing guidance and vocational counseling to exiting students	51.8	56.2
Providing job placement services	33.6	32.9
Other	50.1	53.8

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Tables III.15 and III.16 in Part Two of Volume II for more detailed breakdowns.

of the IEP has undoubtedly been a factor in the widespread use of such transition activities which are focused on movement to another educational setting.

Other transition practices are related to the transition of students from education to adult life. These include vocational counseling and assistance in job placement, which are routinely provided by fewer separate facilities (about half and one-third, respectively). However, about three-quarters of separate facilities nationally report providing training to students on skills and behaviors required once they leave the facility.

A number of transition practices are applicable both to students entering another educational placement and those entering the community as adults. Substantial majorities (between 70 and 80 percent) of the separate facilities surveyed nationally reported visiting the new setting with the student or following up on the success of the new placement. Providing backup or additional services after transfer to the student, family, or new placement staff was less common, although more so among residential facilities where coordination with a new residential placement may also be necessary.

According to the case study facilities, the types of transition support reported by large numbers of separate facilities nationally were of long standing. Only a few of the case study facilities mentioned specific changes in transition practices since 1975, other than in the areas of vocational and life skills training which will be discussed in the next section. Only efforts to provide more systematic followup of students after they leave the separate facility were cited as a change in facility practice. The factors mentioned with regard to this change were more complex student needs and staff initiatives to respond to those needs.

3. Summary

The need for transition planning and programming has increased as the population of separate facilities has changed. Some types of transition activities are routinely provided by most separate facilities, especially in the transfer of students from one educational setting to another. Other types of transition support are less frequently available, particularly follow-up services, vocational guidance and job placement.

An increase in transition planning, particularly in the use of formal, written transition plans for entry into the adult world as students leave the educational system, was the most frequent change mentioned by the case study facilities. The factors associated with this change were most often reported to be SEA requirements for such plans and the increased severity of impairment among students which made thorough and early planning even more important. State divisions of special education also provided support to these planning efforts through the development of guidelines and forms and through technical assistance and training.

There were only a few case study facilities reporting specific changes in the area of programs for transition other than in life skill and vocational training (which is discussed, separately).

B. CHANGES IN LIFE SKILLS AND VOCATIONAL EDUCATION

As previously noted, the Education of the Handicapped Act Amendments of 1983 (P.L. 98-199) recognized and addressed the importance of social and vocational skills for handicapped students by expanding provisions for programs to address these needs. In addition, the Carl D. Perkins Vocational Education Act of 1984 (P.L. 98-524) mandated that students with handicaps have access to public vocational education programs. Three-quarters of the twenty-four case study facilities reported having either life skills or vocational education programs or both currently in operation.

Most of the case study facilities currently having either life skills or vocational education programs reported that there had been a major emphasis placed on developing these programs since 1975, as the goal for their students had more often become community-based rather than institutional placements as adults. Changes in the student population, particularly in terms of the severity of impairment, had also increased the emphasis placed on pre-vocational and job readiness training.

A small number of case study facilities, most for students with mental retardation, had developed a more functional or task-oriented approach to instruction, particularly in vocational and life skills training, in the years since 1975. SEA-provided technical assistance and program materials, as well as input from national accreditation organizations, were both cited as important factors in this change in orientation. An even smaller number had added training in computer skills, primarily in developing communication skills, again aided by SEA technical assistance.

1. Life Skills Education

Life skills programs at the case study facilities were generally conducted on campus and focused on functional and community living skills, ranging from basic personal care to how to manage an apartment and handle a budget. Because educational programs for mentally retarded persons have traditionally focused on life skills training, it is not surprising that life skills programs were much more common among case study facilities serving mentally retarded students (in which 70 percent of the facilities had such programs) than in facilities for students with sensory impairments (25 percent) or emotional disturbances (20 percent). However, separate facilities for students with sensory and emotional impairments have over time come to serve more multihandicapped persons and persons with mental retardation in addition to other impairments. As they have done so, they have developed a greater emphasis on life skills training.

Among the twenty-four case study facilities, three on-campus independent living programs were begun in the mid-1980's or later. Typically, these programs provided a small group of selected students the opportunity to live in a small residential environment, resembling as closely as possible a community-based setting. The purpose of these programs was to provide students with the experience of living in an environment in which they were responsible for many more aspects of their own daily lives than they were in the dormitories. Students in these independent living programs were generally expected to share such chores as cleaning, preparing food, doing laundry, and in some cases preparing a budget and planning expenditures.

In one independent living program at a State-operated facility for mentally retarded students, students lived six to eight weeks in a mobile home on a part of the campus separate from the dormitories. Two roommates shared the mobile home, with no child (residential) care staff on the premises and no housekeeping services. Students shopped, cooked, cleaned, and planned their own schedules, putting into practice skills learned in the classroom. During this period students were evaluated on their skills, and students successful in the mobile home moved into the second floor of a converted dormitory, which had a communal kitchen and bathroom and individual bedrooms. The students in this dormitory had the same responsibilities as in the mobile home. This independent living program was designed to help students better anticipate what it will be like to live outside the facility. Respondents at the facility also reported that this program was responsible for a better understanding among the staff of what it is that students need to learn and experience in order to function successfully in the community. The success of a number of students in the program also has been responsible for staff having higher expectations for the students in other aspects of the facility's programs. These indirect results of the independent living programs were also reported at other facilities.

These independent living programs were developed in response to student needs, staff initiatives, and in one case, the deinstitutionalization policies of the State department of mental retardation. One facility gave credit to the technical assistance and information available through the SEA division of special education, particularly through State-wide conferences, in helping set up and improve their independent living program.

2. Vocational Education

The vocational education programs at the case study facilities focused on career awareness, the acquisition of specifically marketable skills or good work habits, and actual vocational experience. Vocational education programs were prevalent across the case study facilities regardless of the handicapping condition served or the facility operator. The instructional approaches included classroom-based training, on-campus vocational training stations, or supervised off-campus work experience in either sheltered or competitive settings. The facilities most likely to have extensive on-campus vocational training equipment, in such areas as printing, carpentry, equipment repair, and data processing, were the State-operated schools for the sensory impaired. Several other facilities had student-operated school stores or businesses. Students often worked in facility cafeterias or in other on-campus work-study programs.

The single most frequently change in educational programming mentioned by the case study facilities was an increased emphasis on vocational preparation and training, with half of the facilities reporting an increase in vocational education in the classroom setting or in vocational experience programs, especially in off-campus settings.

The availability of grants or other specifically targeted funding for program development, particularly EHA-B and Federal vocational education funds, was considered important in providing opportunities for program development and experimentation in vocational education, particularly by State-operated programs. One facility also noted that ability to use the higher reimbursement formula for a special education vocational program, rather than the lower allocation under general vocational education, allowed it to expand its vocational program. SEA-provided assistance and training also aided in the development of programs in vocational education. The facilities noting the impact of SEA program development and dissemination activities overlapped partially with those mentioning technical assistance and training.

C. INCREASED USE OF TREATMENT AND BEHAVIORAL GOALS IN EDUCATIONAL PROGRAMMING

Half of the case study facilities reported using some kind of behavior management techniques as a part of their programming, in either educational or residential/therapeutic settings. Behavior management techniques were used predominantly by facilities serving students with emotional disturbances (80 percent of these facilities reported using such techniques), but were also reported by facilities serving mentally retarded students and students with sensory impairments.

The approaches used generally went beyond simple behavior modification using immediate rewards for demonstration of skills and/or appropriate behavior. The facilities using more complex behavior management techniques generally involved the students in the monitoring of their own performance. For example, students in one residential facility for emotionally disturbed children carried a chart with them on which they recorded points for either refraining from disruptive or unacceptable behaviors or engaging in desired behaviors. The behaviors were chosen by the staff to help each individual child overcome his or her own particular behavioral problems. Students were given rewards of various types, such as special privileges and public recognition of their achievements, and were gradually weaned from the charts and point system, with the goal to develop sensitivity to social approval in their own behavior control.

In one-third of the facilities using behavior management techniques, these approaches were an integral part of both the educational and residential programming, creating a fully integrated approach to the child's development and/or treatment. For example, in the behavior management system described above, educational and residential staff communicated regularly to ensure that each was made aware of an individual student's behavior problems in the other setting, and at the time of the site visit the facility was moving toward more formally integrating the behavioral goals of the IEP with those of the individual treatment or habilitation plans.

The use of integrated educational/therapeutic approaches was not solely limited to behavior management techniques. For example, among the case study facilities, a facility for mentally retarded students and another for students with sensory impairments also reported coordinating various therapeutic and educational components of students' programs in order to ensure that a common set of goals were addressed. The transfer of life skills training from the classroom to the dormitory was an example of this type of coordination.

About one-fifth of the case study facilities reported increased use of behavior management or modification techniques since 1975. All but one of the facilities reporting these types of changes were residential programs for emotionally disturbed students. Other case study facilities for emotionally disturbed students noted that they had increased the amount of therapy or treatment services they provide to their students, as the emotional problems among their students had become more severe.

More integrated educational and treatment or residential programming were mentioned by one-quarter of the facilities, equally distributed among the three handicapping conditions of mental retardation, sensory impairments, and emotional disturbance. Facilities for students with mental retardation were predominant among those mentioning increased use of related services staff and special assistive devices in the educational setting. The principal factor in the increased use of therapeutic or related services in educational programming was change in the characteristics of the student population, particularly in the severity of impairments and the prevalence of multiple handicapping conditions.

D. PROGRAM EVALUATION

Providing an educational program that meets handicapped students' needs and one that assists individuals in reaching their potential are the goals of special education. Program evaluation activities are one way in which facilities can determine their degree of success as they work toward those goals. This section describes the types of program evaluation activities undertaken by separate facilities and factors that have influenced changes in program evaluation activities.

1. Current Program Evaluation Activities

Based on national estimates from the Survey of Separate Facilities, virtually all separate facilities are certified by one or more governmental agencies, and in most cases (90 percent of day facilities and about three-quarters of residential facilities) one of those agencies is the State education agency (see Table II.7). These patterns hold regardless of the primary disability served by the facility. About one-quarter of separate day facilities and half of separate residential facilities also have accreditation by non-governmental agencies such as professional associations with private facilities of both types slightly more likely to have accreditation than public facilities (see Table II.8). Both governmental and non-governmental

TABLE II.7

PERCENT OF SEPARATE FACILITIES WITH CERTIFICATION AND/OR LICENSE FROM ONE OR MORE GOVERNMENTAL AGENCIES

	Certified by One or More Governmental Agencies	Certified by the State Education Agency
DAY SCHOOLS		
Public	99.2	92.5
Private	93.2	85.8
Total	96.8	89.8
RESIDENTIAL FACILITIES		
Public	100.0	77.8
Private	98.6	74.7
Total	99.1	75.8

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

TABLE II.8

PERCENT OF SEPARATE FACILITIES WITH ACCREDITATION BY NON-GOVERNMENTAL AGENCIES

	Primary Disability Served by Facility				
	Mild/Moderate Mental Retardation	Severe/Profound Mental Retardation	Emotional Disturbance	Multiple Handicaps	Total
DAY SCHOOLS					
Public	27.8	22.9	15.8	6.2	17.9
Private	53.6	*	42.4	25.1	36.1
Total	35.7	20.6	26.2	12.5	25.2
RESIDENTIAL FACILITIES					
Public	*	34.3	65.5	*	47.8
Private	*	*	61.0	*	52.3
Total	76.6	25.5	61.8	29.6	50.7

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

Dashes indicate calls with one or fewer responding facilities.

* Indicates estimates for which sample size is judged insufficient to permit reliable statistical inference. In addition, where the percentages reported are zero or 100, it is not possible to calculate sampling variances using standard methods.

accrediting organizations generally require some form of program evaluation which is often the core of facility activities in this area. On average, separate facilities nationally reported undertaking program evaluation activities (such as review of facility goals, evaluation of the congruence between the facility program and individual student needs, and reports to monitoring or certifying organizations) about two times per year, with little difference between public and private facilities (see Table II.9).

The case study facilities reported using a number of specific mechanisms to evaluate programs, including:

- Use of outside reviewers
- Self-evaluation activities among facility administration and staff, often including needs assessment surveys
- IEP reviews or individual student progress assessments
- Comparisons of student test scores over time
- Consumer/parent surveys

Accreditation by a professional association usually involves review of a broad range of program elements and includes both preparation of self-evaluation reports by the facility and site visits by a team of peers from similar facilities. The external accreditation reviews were generally on a five-year cycle, but facilities often adopted some or all of the accreditation procedures for their own, more frequent, evaluation. One State school for sensory impaired students had modified the procedures used by its accrediting organization for a biannual self-evaluation process using both staff and parent surveys. These in-house evaluation activities have allowed the

TABLE II.9

FREQUENCY OF PROGRAM REVIEWS BY SEPARATE FACILITIES

(Average Number of Times Per Year)

	Review of facility goals and objectives	Evaluation of degree facility's programs are in line with individuals' programs and objectives	Reports on facility operations to monitoring or certifying organizations
DAY SCHOOLS			
Public	2.5	2.1	2.0
Private	1.8	2.1	1.9
Total	2.3	2.1	2.0
RESIDENTIAL FACILITIES			
Public	2.5	3.1	2.8
Private	2.2	2.4	2.4
Total	2.3	2.6	2.5

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Table V.9 in Part Two of Volume II for more detailed breakdowns.

facility to focus on internal issues such as average student test scores as well as to respond to requests for information from external agencies such as the SEA and the legislature. The same facility has also used the results of these evaluation activities to develop its own long-range plan. More informal evaluation activities, most commonly consisting of surveys of staff, clients, or parents, were mentioned by case study facilities. Some facilities also reported using the required periodic IEP or individual student progress assessments as a means or program evaluation, in addition to compliance monitoring.

2. Changes in Program Evaluation

Almost three-quarters of the case study facilities noted some change in program evaluation since 1975. Just less than one-third, facilities (all but one publicly operated), reported that they had initiated program evaluation since 1975. In most cases, this involved some form of self-evaluation and assessment activities, but a few facilities set up computerized student data bases or hired an outside consultant to determine changes needed in the facility's programs.

State requirements for program evaluations and examination of evaluation activities during monitoring were mentioned by about half of the case study facilities initiating program activities as important factors in their decision, while an equal number undertook program evaluation activities on their own initiative. In one case study facility, an evaluation specifically of its vocational education programs was supported by Perkins Act funds and technical assistance from an SEA division other than special eduction. About half of the facilities initiating program evaluations also gave credit to the division of special education or to the SEA-funded resource/materials center for helping them develop an evaluation program; the help they received included bulletins and other publications containing ideas and approaches for program evaluation, manuals on program evaluation, and technical assistance from a program specialist in evaluation.

About one-quarter of the public case study facilities mentioned that program evaluation had increased in intensity or quality. Factors mentioned by these facilities were State requirements and monitoring regarding evaluation activities, the initiative of the facility director and/or staff, and involvement in external accreditation. In addition, one facility gave credit to funds and technical assistance provided by the SEA but through a division other than special education. This local district program had recently become involved, at the initiative of the principal, in a school improvement project sponsored by the SEA's general research and evaluation division, with general education funding and supported by technical assistance provided by the division responsible for all public schools. This project was part of a pilot program for both general and special education facilities and involved more sophisticated and intensive needs assessment and evaluation than the facility had used in the past. Progress toward facility-specific goals (to reduce the number of student referrals to the principal's office for discipline and to improve staff and parent assessment of the effectiveness of student disciplinary practices) was evaluated both in terms of process (the number of workshops and inservice training sessions offered to staff on discipline issues and the development of written procedures for positive reinforcement of student behavior and for appropriate teacher disciplinary actions) and outcomes (counts of incidence of student referral for disciplinary action to the principal and results of staff and parent surveys).

In addition to the case study facilities initiating program evaluation activities since 1975, several changed the focus of their program evaluation efforts. Monitoring was a factor in a number of these cases, for example, changing the focus of program evaluation to standards of the SEA, as a result of now being directly monitored by the SEA, and shifting evaluation efforts to more closely follow the procedures and criteria used in SEA monitoring. However, changing evaluation focus was also reported to be affected by SEA technical assistance and dissemination activities, including provision of a self-study guide, availability of program specialists to provide technical assistance and training in evaluation, and conferences at which facility staff have the opportunity to gather information about the other programs to provide a framework for their own self-evaluation.

Several of the facilities that reported either increased quality or a change in focus of their program evaluation activities also noted that evaluation activities had increased in frequency. The factors behind this change were diverse, including a more severely impaired student population requiring more frequent assessment of program effectiveness, recommendations for more frequent evaluations from the operating district, and a more frequent schedule to coincide with SEA monitoring.

3. Summary

Program evaluation activities are regularly performed at separate facilities, on the average of twice a year according to national estimates. However, there have been relatively few changes since 1975, based on reports by the case study facilities. The changes that were reported were primarily affected by procedures adopted by the State education agency's division of special education--particularly technical assistance, dissemination, standards, and monitoring. Other frequently mentioned factors were the role of the facility's own leadership and of other divisions within the SEA or other State agencies.

Several facilities noted that SEA monitoring procedures provided a general model or basis for the facility's own evaluation activities or focused the facility's evaluation of its own program on specific, measurable goals. Some facilities modelled their own evaluations after the monitoring process or structured the focus of their evaluations on the topics covered in monitoring, for example, ensuring that complete data were available in student records on the placement decision and the IEP development process. In these evaluation activities, facilities did not focus on student outcomes or indicators of program effectiveness. In general, these types of evaluations looked at procedural compliance rather than program quality.

In several facilities, the principal, particularly if he or she was relatively new in that post, was reported as initiating the involvement of the facility in program evaluation and/or changing the focus, format, or frequency of evaluation activities. In addition, external accreditation agencies often provided the framework and focus of program evaluation efforts.

III. FACTORS AFFECTING FACILITY STAFFING

The bulk of the funds expended on special education services are allocated to personnel costs[1], and the quality and effectiveness of education provided students in any educational setting is, in large part, a function of the staff providing services. This chapter presents a description of three critical dimensions of educational staffing in separate day and residential facilities for handicapped students. It provides a picture of how these dimensions have changed since the passage of P.L. 94-142 and discusses the factors associated with these changes.

The three dimensions of facility programs described in this chapter are staffing levels and types, staff development, and staff evaluation. The qualifications of educational staff, their numbers and types, the ratio of staff to students, and existence of staff shortages are indicators of the availability of staff crucial to the provision of effective special education programs. Staff development activities provide new skills, professional growth, and updated qualifications for personnel to assure their continued effectiveness in providing services. Finally, staff evaluation provides a means of assessing staff effectiveness in the provision of services and of giving feedback to staff to increase effectiveness.

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[1] According to a recent study, teacher salaries accounted for 71 percent of instructional program expenditures for special education, while aides and all other practitioners accounted for another 27 percent (Moore, et al., 1988).

All three dimensions of facility staffing have changed significantly in separate facilities for handicapped students since the passage of P.L. 94-142, although the extent to which they have changed varies due to numerous factors, including changing student populations and the operator of the facility. This chapter describes, for each dimension of staffing, current practices at separate facilities across the nation. Each section then continues with a detailed discussion of changes in each dimension and of the factors which have influenced the changes as reported by the case study facilities.

A. NUMBER AND CHARACTERISTICS OF FACILITY STAFF

The characteristics of staff providing education are generally assumed to be closely related to the quality of education provided in schools. When well-educated and certified or licensed staff are available in sufficient numbers, student needs are most likely to be met.

1. Current Staffing Patterns

Table III.1 provides national data from the Survey of Separate Facilities on the average hours per week per student of various types of staff providing instructional or related services to students.[2]

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[2] Most students at separate facilities (from 70 to 80 percent in day facilities and from 55 to 65 percent in residential facilities, according to national estimates from the Survey of Separate Facilities; see Chapter V of Volume II) are in classroom settings of 6 or more students. Therefore, this figure should not be interpreted as the amount of supervised instruction and related services received by a student during a week.

TABLE III.1

STAFF HOURS PER WEEK PER STUDENT BY TYPE OF STAFF

	Classroom Instructional Staff							
	Total	Special Education Certified Teachers	Regular Education Certified Teachers	Noncertified Teachers	Classroom Assistants/Aides	Other Classroom Instructional Staff	Support and Related Services Staff[a]	Direct Residential Care Staff
DAY SCHOOLS								
Public	10.0	4.1	0.4	0.1	5.1	0.3	2.9	NA
Private	9.1	3.6	0.7	0.6	3.6	0.6	4.9	NA
Total	9.6	3.9	0.5	0.3	4.5	0.4	3.7	NA
RESIDENTIAL FACILITIES								
Public	11.8	6.2	0.4	0.1	3.0	2.1	11.1	14.3
Private	10.6	3.8	1.4	0.8	3.7	0.9	9.3	22.7
Total	11.0	4.7	1.1	0.6	3.5	1.1	9.8	20.0

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Tables V.3 and V.4 in Part Two of Volume II for more detailed breakdowns.

NA = Not Applicable

[a] Includes psychologists and behavior analysts, psychiatrists, counselors, social workers, physical therapists, occupational therapists, speech and language therapists, transition and community living skills trainers, vocational specialists, remedial academics teachers, physical education and recreation teachers, music and art teachers, librarians and media specialists, physicians, dentists, medical and dental nurses, technicians, low vision specialists, mobility trainers, hearing specialists, audiologists, and other support related services staff.

Total instructional staff of day schools averaged 9.6 hours per week per student or about one full-time equivalent teacher per 4.25 students. Certified special education teachers at residential facilities averaged 3.9 hours per week per student (about 1 per 10 students). Paraprofessionals averaged 4.5 hours per week per student (about 1 per 9 students) with the rest of the instructional staff made up of regular education teachers, tutors, assistants, instructional consultants, and others involved in classroom instruction. Total instructional staff of residential schools averaged 11.0 hours per week per student or about one full-time equivalent teacher per 3.6 students. This was somewhat higher than the average of 9.6 hours per week per student in the day schools. Certified special education teachers at residential facilities averaged 4.7 hours per week per student (about 1 per 8.5 students), paraprofessionals averaged 3.5 hours per student per week, and teachers not certified in special education averaged 1.7 hours per student per week, with other instructional personnel, assistants and instructional consultants accounting for the remainder of the 11 total hours.

A wide range of support and related services staff were available at separate day and residential facilities, including psychologists, social workers, speech, occupational, and physical therapists as well as teachers providing specialized instruction in remedial academics, music, art, and physical education. On average, staff provided an additional 3.7 hours of support and related services per student per week at separate day facilities, and an additional 9.8 hours per student per week at residential facilities.

Teacher Certification. As can be seen in Table III.2, most classroom teachers at separate facilities have certification in special education, although this is more true among day schools than residential facilities (83 percent and 73 percent, respectively). In all settings, fewer than fifteen percent of classroom teacher time is provided by noncertified teachers. The bulk of classroom teacher time not accounted for by staff certified in special education is provided by certified teachers who do not have special education credentials. Private facilities use both uncertified teachers and teachers with certification in an area other than special education considerably more extensively than public facilities. This pattern is particularly evident among residential facilities.

Aide-to-Teacher Ratio. The ratio of teacher to other classroom staff time provides some indication of the support available to teachers in the educational process. Table III.3 presents national statistics on these ratios from the Survey of Separate Facilities. In separate day facilities, there is approximately one hour of classroom aide and other classroom instructional staff time for each hour of classroom teacher time. In separate residential facilities classroom teachers have fewer hours of classroom staff support, but this appears to be balanced by additional support and related services staff time provided at residential facilities. There are no differences of any magnitude between public and private facilities in aide-to-teacher ratios.

Staff Turnover and Staff Shortages. Turnover of instructional staff was reported to be higher in private day schools than in public day schools. Private schools reported a 22 percent average annual turnover of instructional staff as compared with 10 percent in private facilities (see Table III.4).

TABLE III.2

PERCENT OF TOTAL TEACHER HOURS BY CERTIFICATION STATUS

	Percent of Classroom Teacher Hours With Special Education Certification	Percent of Classroom Teacher Hours Regular Education Certification	Percent of Teacher Hours Without Certification
DAY SCHOOLS			
Public	89.1	8.7	2.2
Private	73.5	14.3	12.2
Total	83.0	10.6	6.4
RESIDENTIAL FACILITIES			
Public	92.5	6.0	1.5
Private	63.3	23.3	13.3
Total	73.4	17.2	9.4

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

TABLE III.3

RATIO OF TEACHER TIME TO TIME SPENT BY AIDES AND OTHER CLASSROOM INSTRUCTIONAL STAFF

	Ratio of Teacher To Aide Time	Ratio of Teacher to Aide & Other Classroom Staff Time	Ratio of Teacher to Support and Related Services Staff Time
DAY SCHOOLS			
Public	0.9	0.85	1.6
Private	1.4	1.2	1.0
Total	1.0	0.9	1.3
RESIDENTIAL FACILITIES			
Public	2.2	1.3	0.6
Private	1.6	1.3	0.6
Total	1.8	1.4	0.7

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

TABLE III.4

AVERAGE ANNUAL TURNOVER OF STAFF AT SEPARATE FACILITIES

DAY SCHOOLS	
Public Facilities	
Instructional and Classroom Staff	9.8
Private Facilities	
Instructional and Classroom Staff	21.6
RESIDENTIAL SCHOOLS	
Public Facilities	
Direct Care Residential Staff	24.2
Instructional and Classroom Staff	16.3
Private Facilities	
Direct Care Residential Staff	35.3
Instructional and Classroom Staff	19.3

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Table V.5 in Part Two of Volume II for more detailed breakdowns.

NOTE: Turnover was defined as the number of staff positions of a specific type (instructional/classroom or direct care) for which new employees were hired to replace departing employees during the previous year divided by the facility's total number of positions of that specific type.

Correspondingly, more private than public day facilities reported that instructional staff turnover was a very serious problem (about 16 percent and 8.5 percent, respectively). (See Table III.5.) Related to the higher rate of staff turnover problems in private day schools was the report by administrators at 62 percent of these facilities that "competing with the pay scales and fringe benefits of alternative employers" was a very serious problem, as compared with 30 percent of public day school administrators.

There was no substantial difference in turnover of instructional staff in private residential facilities (19 percent) compared to public residential facilities (16 percent) (see Table III.4). A greater difference was noted in the turnover of personnel providing care and supervision to students outside the instructional program. This was reflected in the much higher reports of problems with residential staff turnover reported by private compared to public residential facilities (61 percent and 36.5 percent, respectively). (See Table III.5.) Public residential facilities reported an annual turnover of their direct care staff members of about 24 percent as compared with 35 percent in the private residential facilities. Many (51 percent) of private residential facility administrators, like their counterparts in separate day facilities, reported that competing with the pay scales and fringe benefits of alternative employers was a very serious problem.

Recruitment of related services staff is a problem faced by many separate facilities. Among the case study facilities, shortages of occupational and physical therapists were particularly frequently mentioned (by almost half of the case study sites), while a quarter of the facilities needed speech therapists or teachers of the speech impaired. Among the other specific staff

TABLE III.5

PERCEPTION OF PERSONNEL PROBLEMS AT SEPARATE FACILITIES

(Percent of Schools Reporting Problem as Very Serious)

Administrative Problem Areas	Day Facilities	Residential Facilities
PUBLIC		
Recruiting professional staff with the necessary certification in special education or related services	31.2	34.8
Recruiting professional staff with the necessary expertise for your particular program	38.9	43.6
Turnover of residential and classroom staff	NA	29.1
Turnover of instructional and classroom staff	8.5	9.8
Competing with the pay scales and fringe benefits of alternative employers	30.3	34.0
Obtaining/coordinating services or qualified related services providers	32.2	19.7
PRIVATE		
Recruiting professional staff with the necessary certification in special education or related services	43.6	29.7
Recruiting professional staff with the necessary expertise for your particular program	44.6	33.2
Turnover of residential care staff, if any	NA	41.2
Turnover of instructional and classroom staff	15.6	12.3
Competing with the pay scales and fringe benefits of alternative employers	61.9	51.2
Obtaining/coordinating services of qualified related services providers	19.9	14.7

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Tables V.7 and V.8 in Part Two of Volume II for more detailed breakdowns.

NA = Not Applicable

shortages, case study respondents reported nurses, trained bus drivers, and personnel such as vocational teachers and psychologists trained to work with students having particular handicapping conditions. Only a few case study facilities noted that they had a shortage of teachers, but substitute teachers were difficult for these facilities to find, given that they had to be certified in one or more areas to teach the population(s) of the school.

2. Changes in Staffing Patterns

P.L. 94-142 was designed to improve the availability and quality of staff providing special education and related services to students with handicaps through two major mechanisms: (1) the Comprehensive System of Personnel Development (CSPD) process of evaluating and planning for both preservice and inservice staff training needs and (2) through the general supervision responsibility of State education agencies over all publicly funded special education programs which in many States has meant the direct application of teacher certification standards in all settings including separate facilities. These provisions have resulted in changes in staffing, as documented below.

Quality of Staff. There have been substantial changes in the quality of instructional staff since 1976, noted by the current administrators at separate facilities. Table III.6 indicates that nationally large majorities (over 80 percent) of administrators at separate facilities of all types (day and residential, public and private) reported that instructional staff have more appropriate training than in the past. The case study facilities confirmed this trend and also the increased prevalence of certification and/or licensure among staff. In approximately half of case study facilities,

TABLE III.6

PERCENT OF ADMINISTRATORS AGREEING WITH STATEMENT REGARDING CHANGES IN STAFF QUALITY

As compared with 1976, instructional staff hired by the facility has more appropriate training.	Primary Disability Served by the Facility		
	Mental Retardation	Emotional Disturbance	All Schools
DAY PROGRAMS			
Public	92.3	*	86.7
Private	89.6	84.1	83.3
RESIDENTIAL PROGRAMS			
Public	80.5	82.0	83.0
Private	88.3	86.2	86.7

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

* Indicates estimates for which sample size is judged insufficient to permit reliable statistical inference. In addition, where the percentages reported are zero or 100, it is not possible to calculate sampling variances using standard methods.

teachers of the facility were more often certified than in the past, and related services staff were more often certified and/or licensed, depending on relevant State regulations. This change occurred in all types of facilities, and uniformly, a factor influencing this change was reported to be State certification standards.

However, factors other than State certification standards also were important in the improved quality of staff at separate facilities. The availability of enhanced State technical assistance and training was noted by one third of the case study facilities as a reason for the change. More than half of the facilities indicating that staff were better qualified attributed the higher quality of staff to improved preservice training and a number indicated that a higher quality of staff resulted from the continuing education requirements of the State.

Type of Staff Employed. While detailed national data on changes in the specific types of staff positions found in separate facilities are not available, twenty-two of the twenty-four case study facilities indicated that the type of educational staff they employ had changed in the years since the passage of P.L. 94-142. One quarter noted hiring teachers for multihandicapped and/or more severely handicapped students. These differences in staff composition were largely attributed to changing student populations and the resulting programmatic changes.

One quarter of the facilities also had more vocational teachers and transition staff (e.g., those involved in living skills, prevocational training, and community-based programs) than in the past, again reflecting changes in student needs. The facilities employing more aides were largely those serving mentally retarded students, and several facilities for students with emotional disturbances had more crisis intervention staff than in the past.

In addition to changes in the instructional staff, more than half of the case study facilities (all but one of them, local public or private facilities) were employing more related services personnel than in the past. In particular, more staff such as nurses, other medical staff, occupational therapists, physical therapists, speech and language therapists, social workers, and psychologists were on staff or under contract than had been true in earlier years.

The number of administrative staff increased in about one-third of the case study facilities due to the changing student population, the creation of new programs or the opening of new schools as part of the facility (itself often the result of changing numbers or types of students served by the facility), and changes in the leadership at the facility. In two State-operated facilities for sensory impaired students, this addition of administrative staff was associated with more outreach programs to serve students outside the facility and to assist local school districts in serving their own students with sensory handicaps.

Ease of Recruiting and Retaining Staff. Slightly more than half of the case study facilities found it harder to hire staff than in the past. While this was particularly true for occupational and physical therapists, recruitment was also a problem for nurses, speech and language therapists, teachers of the emotionally disturbed, and teachers jointly certified for two or more handicapping conditions or for a handicapping condition and another area of education such as vocational education.

One-quarter of the case study facilities, operated either by State or private agencies, believed that staff were harder to find because school districts could offer higher salaries. At some facilities, staff maintained that unionization in other types of facilities serving similar populations had led to higher salaries making it more difficult to find qualified staff. State requirements for teachers to hold joint certification such as those mentioned above, requirements that related services personnel be certified to work with school-age children or in school settings, requirements that substitute teachers have certification for a particular handicapping condition, and requirements that bus drivers have special training have meant that some case study facilities experienced more difficulties in finding the staff they needed. Further, the increased need for particular types of staff to serve the increasingly severely impaired populations of these facilities undoubtedly influenced the perception that it was harder to find various types of staff than in the past.

Almost a quarter of the case study facilities, serving either emotionally disturbed or mentally retarded students, found it harder than in the past to retain staff; most of these were programs operated by local school districts or intermediate education units. The principal reason for problems in retention was reported to be teacher burnout associated with serving a more severely impaired student population than in the past.

Staff to Student Ratios. Based on comparison of data from the 1978-79 OCR Survey of Special Purpose Facilities and the 1988 Survey of Separate Facilities for facilities responding in both years, little change was noted in the ratio of instructional staff to students (see Table III.7). In 1979

TABLE III.7

CHANGES FROM 1979 TO 1988 IN THE RATIO OF INSTRUCTIONAL STAFF TO STUDENTS AT SEPARATE FACILITIES

Type of Facility	
1979[a]	
PUBLIC	
Residential	.32
Day	.32
PRIVATE	
Residential	.40
Day	.33
1987[b]	
PUBLIC	
Residential	.36
Day	.33
PRIVATE	
Residential	.36
Day	.31
Net Change	
PUBLIC	
Residential	.04
Day	.01
PRIVATE	
Residential	.04
Day	.02

[a] SOURCE: 1978-79 OCR Survey of Special Purpose Facilities.

[b] SOURCE: 1988 OSEP Survey of Separate Facilities.

the public residential schools reported .32 instructional staff members per student, as compared with a slightly higher .36 in 1988. The private residential schools showed a decrease of the same magnitude (.04), dropping slightly from .4 to .36 instructional staff members per student. (A change of .04 represents one instructional staff FTE per 25 students.) Even smaller changes were noted among day schools with the public day schools increasing from .32 to .33 instructional staff members per student and private day schools decreasing from .33 to .31 instructional staff members per student.

3. Summary

Staffing patterns in separate day and residential facilities are closely tied to the student population of the facilities. Changes in the types of personnel employed at facilities reflect the needs of different types of students, particularly more severely involved and/or multihandicapped students. On the other hand, while the particular training and skills needed by staff have changed in response to changing student needs, overall staff to student ratios have changed very little.

While the needs of the student population was the key factor noted in determining the number and type of staff in separate facilities, State education agency standards for staff certification have provided the parameters for staffing decisions in separate facilities. The result has been a higher rate of certification among staff at separate facilities as well as better prepared and trained staff. However, it is to be expected that in the future State certification standards will have less impact on staff quality due to the longevity of the requirements, preservice training directed to the requirements, and facility acceptance of the requirements.

Staff recruitment and turnover continue to be problems faced by substantial numbers of separate facilities, affected by the changing needs of students, more stringent SEA certification standards, and competition with alternative employers including local district programs and non-educational settings such as hospitals.

B. STAFF DEVELOPMENT

Staff development is one tool which can be used by educational facilities of all types to improve the quality of services provided to students, by providing new skills, professional growth, and updated qualifications to personnel. Staff development activities may take several forms including in-service training provided on-site, financial support and/or leave time to allow staff to attend meetings and conferences, tuition assistance for coursework, and dissemination of information. All of these activities are employed by separate facilities as means of improving educational services.

1. Current Staff Development

Table III.8 presents national estimates of the average hours of inservice training for staff at separate facilities per year. These data, reported by administrators on the Survey of Separate Facilities, indicate that generally between twenty and thirty hours of inservice training are provided to instructional, related services, and residential care staff. The average amount of staff development training does not differ substantially across types of facilities. However, among day facilities it appears that more inservice opportunities are provided at private rather than public schools.

TABLE III.8

AVERAGE ANNUAL HOURS OF IN-SERVICE TRAINING PER STAFF MEMBER AT SEPARATE FACILITIES

DAY SCHOOLS	
Public Facilities	
Instructional and Classroom Staff	23.9
Support and Related Services Staff	19.8
Private Facilities	
Instructional and Classroom Staff	30.4
Support and Related Services Staff	23.9
RESIDENTIAL SCHOOLS	
Public Facilities	
Direct Care Residential Staff	29.5
Instructional and Classroom Staff	32.3
Support and Related Services Staff	20.4
Private Facilities	
Direct Care Residential Staff	36.2
Instructional and Classroom Staff	32.0
Support and Related Services Staff	24.0

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Table V.6 in Part Two of Volume II for more detailed breakdowns.

For example, public day schools reported an annual average of 24 hours of inservice training for each full-time equivalent of their instructional personnel and 20 for support and related services personnel, while private day schools reported an annual average of 30 hours for each full-time equivalent of their instructional personnel and 24 for support and related services personnel. Among the residential schools, instructional staff of both public and private schools were reported to average 32 hours of inservice training per year, but private facilities were reported to provide somewhat more inservice training than public facilities to support and related service personnel (24 hours and 20 hours, respectively) and to direct care residential staff (36 and 30 hours, respectively). The higher averages for residential compared to day facilities may reflect the fact that residential programs more often operate throughout the year.

More details on staff development activities were obtained from the case study facilities. The staffs at almost two-thirds of the case study facilities had input as to the content of the staff development activities offered in-house through needs assessments and staff development committees. In more than half of the case study facilities, plans were developed for staff training programs a year or more in advance, with a few facilities created individual development plans for staff members. Almost half of the case study facilities noted that they provided staff development activities for non-professional staff, such as residential care staff and aides.

2. Changes in Staff Development

While national data on changes in staff development activities are not available, staff development at the case study facilities were reported to have changed in several ways in the years following P.L. 94-142. Changes in topics, opportunities for staff development, the relationship of staff development to needs, the quality of staff development, and staff participation were most prominent among the changes reported by the case study facilities.

Topics. Almost uniformly at the case study facilities, the topics of staff inservice presentations and other forms of staff development had changed over the years; for example, one-third of the facilities noted that topics presented had moved from a compliance orientation to topics more directly related to student needs such as behavior management, drugs, vocational education, and technology. Other topics not previously addressed were mastery based curricula, transitioning, child abuse, secondary handicaps, early intervention services, autism, suicide, and functional skills development.

The principal reason for these changes in staff development was perceived to be the changing or new student populations of the facilities; almost 80 percent of the facilities reported this as a reason for the different topics being presented in inservice training and other forms of staff development. Just over one-third of the case study facilities held that the topics had changed because of the State education agency technical assistance, training, program development, and dissemination in staff development. Resource/materials centers for special education, funded or operated by the SEA, also were reported to provide useful workshops and seminars for facility staff on new topics.

One-third of the case study facilities reported that changing staff development topics were the result of changing State standards related to certification and continuing education. Several case study facilities held that SEA monitoring of facility compliance with personnel standards had resulted in different topics being addressed, sometimes due to recommendations of the monitoring team. One quarter of the facilities noted that the change in staff development topics was a result of new facility practices and/or new leadership in the facility itself.

Opportunities. Another dimension on which staff development had changed in the years since 1975 was in the opportunities available for staff development. In three-fourths of case study facilities visited, facility staff reported that opportunities were greater than in the past.

Slightly more than half of the facilities reported that the source of these greater opportunities was the State education agency, either from the agency itself or through resource/materials centers operated by the SEA; thus, SEA technical assistance and training were noted as highly influential in expanding access to staff development activities and resources. Increases in opportunities were also created by additional funding from the State, frequently through the general education reform movement or with EHA monies, and several facilities noted that the monitoring of State staff requirements had led to the creation of more opportunities for staff development by the facility.

One quarter of the case study facilities provided more opportunities themselves, at the initiative of facility leadership, while about 20 percent noted more opportunities provided by other agencies and organizations, including local education agencies, associations, other State agencies, and universities. Finally, some facilities noted that negotiated union contracts required more staff development than in the past.

Relationship to Needs. The case study facilities generally reported that, since 1975, staff development had become more systematically related to needs assessments and students' needs. The facilities noting this change tended to be those operated by LEAs or IEUs; two-thirds of these facilities, but no private facilities, reported this change. The more systematic relationship between needs assessments and students' needs, and staff development, generally occurred in the form of staff committees, staff surveys, and through the establishment of master staff development plans. A few facilities noted a tendency to provide more individualized staff development than in the past. For example, at one case study facility the principal developed individual plans for teachers annually and met regularly with staff to assess progress toward these planned goals.

Almost all of the case study facilities reporting increased coordination of needs and staff development activities maintained that State requirements related to certification, continuing education, and mandated needs assessments for staff development had led to this change. A few also gave credit to staff initiative in the greater integration of needs assessments, students' needs, and staff development.

Quality. Improvements in the quality of staff development activities were noted by one-third of the case study facilities. One facility director, for example, believed staff development had changed dramatically due to an increasing knowledge base; the content, the director maintained, was more thought provoking than in the past.

Several case study facilities indicated that better staff development resulted from the various program development and dissemination related to staff development and technical assistance and training provided by the State education agency in the post-P.L. 94-142 era; this information and training came to the facilities principally through State-funded resource/materials centers. The availability of more State monies to spend on staff development than in the past and initiative on the part of facility staff were factors credited by several facility administrators in providing better quality staff development activities.

For almost one-third of the facilities, staff development activities were more formalized than they had been in the past. For example, one privately operated facility reported that over the years in-service activities had become more systematic, with a regular schedule of in-service events held on a monthly basis and regular planning for staff development. For the most part, more formalized systems resulted from changing State education agency requirements concerning the provision of staff development.

Participation. Staff at one quarter of the case study facilities were participating in staff development activities more often than in the past; the leadership of the directors and/or principals at half of these facilities was reported to have been instrumental in effecting this change. The recent availability of college courses through resource/materials centers operated by the SEA was also reported by some case study facilities to have led to greater staff participation since staff were using these courses to meet State continuing education or certification requirements.

Finally, several facilities were providing staff development to non-professional staff to a greater extent than they had in the past; these staff members included residential staff and aides. For example, a peer paraprofessional program was being used in a facility to train its instructional aides. Most often these types of programs were developed at the initiative of the facility staff and leadership.

3. Summary

Separate facilities provide opportunities for inservice training for their staffs, both in-house as well as through other avenues such as State-funded and/or organized seminars and workshops, including those offered through resource/materials centers. The equivalent of approximately three to four days per year per full-time staff member are generally provided. Based on reports of the case study facilities, opportunities for staff development and participation in staff development have increased since the passage of P.L. 94-142. All facilities now present different topics in their in-service presentations; topics related to compliance with Federal laws and regulations are now less frequently presented. Moreover, the quality of staff development activities has improved and is more closely tied to student and staff needs.

Changes in the student population of separate facilities and in the technical assistance and training opportunities provided by the SEA have been the major forces in changes in staff development activities since P.L. 94-142 was enacted. In addition, SEA staff certification and/or continuing education standards as well as other requirements related to staff development plans and activities were also mentioned by many facilities as important factors associated with changes in that area.

C. STAFF EVALUATION

Staff evaluation provides a means for school administrators to assess the quality of the education being provided to students. When feedback is provided to staff and it is linked to corrective action and/or practice, the provision of services to students is likely to improve.

1. Current Staff Evaluation

Staff evaluation in separate facilities for the handicapped is a function most often reserved for the facility administration, although there is frequently a State requirement that evaluations must occur and some States prescribe systems. On average, separate facilities conduct performance reviews for their staff at least once per year (see Table III.9), with day facilities averaging over twice a year. The case study facilities provided further details on staff evaluation activities. About half of these facilities used staff evaluation systems created by their States or used State forms with some modification or addition, while one-third used forms they had developed internally. All privately operated case study facilities used their own staff evaluation systems.

More than either staffing patterns or staff development, the current staff evaluation practices at separate facilities were in large part determined by the administration of the facility. Staff evaluation was largely a locally controlled function despite the fact that State requirements for evaluations existed. All publicly-operated case study facilities noted that State-level requirements existed for staff evaluations; often these derived from State personnel departments or administrative departments and were based on State employee law or regulations. These general requirements and/or standards were noted as a major influence on staff evaluation procedures. However, where State-wide systems required for all State

TABLE III.9

FREQUENCY OF STAFF EVALUATIONS BY SEPARATE FACILITIES

(Average Number of Times Per Year)

DAY SCHOOLS	
Public	2.5
Private	2.8
Total	2.4
RESIDENTIAL FACILITIES	
Public	1.8
Private	1.5
Total	1.6

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Table V.9 in Part Two of Volume II for more detailed breakdowns.

employees were used, the system of evaluation frequently was viewed by the administrators at the case study facilities as a weak tool for the evaluation of education staffs because of their general nature.

2. Changes in Staff Evaluation

According to the case study facilities, staff evaluation practices remained more stable in the years following the passage of P.L. 94-142 than did staffing patterns and staff development activities. Almost half of the case study facilities reported that no change had occurred in staff evaluation procedures since 1975; however, changes were more frequently mentioned by local public special education facilities. Nevertheless, a limited number of types of changes in staff evaluation were noted by the respondents in other types of facilities. These included changes in the staff evaluation systems used, the frequency of evaluation, and the impact of staff evaluations.

Systems. In one-third of the case study facilities, a new evaluation system had been put in place since 1975. Some of these facilities as well as others noted that evaluation systems had become more detailed by outlining and defining evaluation criteria and measuring more specific skills; also specific criteria had been defined for evaluating different staff positions.

The reasons given for these changes were varied; half of the case study facilities reporting changes in their staff evaluation systems noted that their State's general education reform movement and related State development and dissemination of staff evaluation systems and/or materials had influenced these changes. For example, a separate school operated by a local school district was participating in a recently funded school improvement project funded by the State education agency; one part of the program involved more sophisticated and in depth needs assessments for the school, with specially designed staff development activities followed by an evaluation of staff's implementation of needed changes. One quarter of the case study facilities maintained that the reason for the changes in staff evaluation was the initiative of the local facility director and the facility staff in an effort to improve the educational services delivered to students. Several facilities noted that local unions through the negotiation process had played an important role in creating more specific staff evaluation systems.

Frequency. Staff evaluations were more frequent in several case study facilities than they had been in the past. For most of these facilities, more frequent evaluations were affected by new State requirements, influenced by general education reform movement in the State. One facility was evaluating staff more frequently at the direction of a new principal.

Impact. Several case study facilities also noted that staff evaluation was now better linked to corrective practice and training than in the past; for some the link was to the inservice training provided, while for others the link was to corrective practice. For the former, new leadership had caused the change while for the latter, both leadership and union influence were important.

3. Summary

Separate facilities generally conduct annual or more frequent performance reviews for their staff. Staff evaluation was not an area in which the case study facilities reported experiencing great change in the post-P.L. 94-142 era, in the perception of facility leadership; almost half of the twenty-four facilities reported that no change had occurred. Staff evaluation has been and remains largely a local function, and a function that is not necessarily closely tied to the improvement of programs in separate facilities, particularly if it is part of a mandated State employee evaluation system not specifically tied to educational practice.

Changes that occurred in the systems of evaluation at some separate facilities in the period since 1975 were most often as a result of the initiative of the facility leadership or the requirements established by the general education reform movement. Changes were more likely to be reported by local school districts, where the changes applied to all schools in the district including separate facilities for handicapped students.

D. SUMMARY

Separate facilities reported changes in staffing patterns--particularly in the type and quality of staff, although problems remain in staff recruitment and retention--and in staff development activities--opportunities, content, and participation--since the implementation of P.L. 94-142. On the other hand, fewer facilities had experienced changes in their staff evaluation activities, and those that did primarily linked the changes with internal initiatives, although State requirements associated with educational reform also had an impact in some local public school systems.

The predominant factor associated with changes in both staffing and staff development was change in the student population, specifically in the severity of the impairments experienced by students and needs associated with those impairments. However, more than half of the case study facilities also indicated that State staff certification standards and other requirements related to staff qualifications were important in their decisions regarding the number and kinds of staff to employ and the provision of in-service training for staff development. In addition, SEA-funded and/or provided technical assistance and training opportunities were cited by many of the case study facilities as making a contribution to changes in staff development activities available to their staff, as were initiatives from the facilities' own staff and administration.

Overall, therefore, the major avenues by which the State educational agency has had a direct impact on staffing at separate facilities have been through the implementation of standards related to staff certification and continuing education and through the support of seminars, workshops, and other opportunities for staff to expand their skills and knowledge. These procedures are, however, not specifically applicable to separate facilities and staff in all special education programs presumably are affected. In addition, the largest effects of staff certification standards were generally felt during the period when P.L. 94-142 was first implemented and all special education programs, particularly those in State-operated facilities, came under the supervision of the SEA. Moreover, while certification standards of necessity affect staffing decisions and separate facilities make use of staff development opportunities provided by the SEA, the predominant factor affecting staffing is, inevitably, the needs of the student population. Since the facility leadership has the most intimate knowledge of these needs, it is often their initiative that has led to changes in development activities for their staffs.

IV. FACTORS AFFECTING STUDENT INTEGRATION AND PARENTAL INVOLVEMENT

In addition to providing instruction and related services to handicapped students, programs in separate facilities for handicapped students also plan for other aspects of students' educational experiences. This chapter looks at two of these aspects: (1) opportunities given to students for interaction with nonhandicapped peers and others in the community outside the separate facility, and (2) opportunities to involve and support parents, beyond their mandated participation in planning and review of their children's educational placement and services.

A. OPPORTUNITIES FOR INTERACTION WITH NONHANDICAPPED PEERS

One of the defining characteristics of separate facilities is that students do not generally interact with their nonhandicapped peers during the course of the school day and, if the facility is residential, during nonschool hours as well. However, in line with the expectation that the goal for individuals with handicaps is the development of potential for growth and independence, most separate facilities provide opportunities for interaction, commensurate with the student's needs and abilities as facility staff perceive them.[1] There is, however, considerable variability in the nature and degree of student interaction with nonhandicapped peers and with the general community among separate facilities.

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[1] Several case study facilities serving students with emotional disturbance, generally in residential treatment settings, indicated that there was no or very minimal interaction by their students with nonhandicapped persons outside of the facility. Staff at these facilities noted the severity of the behavior problems exhibited by their students and the importance of a consistent therapeutic milieu in helping students overcome these problems as factors causing them to limit the amount and kinds of interaction with persons outside the facility. In addition, some case study facilities for emotionally disturbed students did not stress interaction with nonhandicapped peers because of the short average length of stay and the intensity of the therapeutic work that must be done outside of the school day during that period.

1. Off-Campus Educational or Developmental Programs

National estimates (based on the Survey of Separate Facilities, conducted in 1988 as part of this study) of the proportion of students age 6 through 17 enrolled in separate facilities who attend off-campus educational programs is about 10 percent of those in day facilities and about 19 percent in residential facilities (see Table IV.1). Comparable proportions for preschool students from birth through age 5 are lower (about 9 percent of those enrolled at either day or residential facilities). Since some off-campus services are provided to these students in the home, the opportunities for integration with nonhandicapped peers may be even less for these students. The highest proportions of students served in off-campus settings were those age 18 through 21 (17 percent of day school students and 27 percent of residential students), reported to be in off-campus settings for education, training, or work placements for all or part of the school day. Again, large proportions (from half to three-quarters of the older students, in day and residential facilities, respectively) in off-campus programs are in settings (such as sheltered workshops or other separate educational settings) which do not necessarily provide opportunities for integration.

The case study facilities provide examples of student participation in educational programs providing contacts with nonhandicapped peer contacts. Some of these contacts were during transition programming, in which facility students were placed in the local public school in either general or special

TABLE IV.1

PERCENT OF SEPARATE SCHOOL STUDENTS ATTENDING OFF-CAMPUS EDUCATIONAL OR DEVELOPMENTAL PROGRAMS

	Age of Students		
	0-5 Years	6-17 Years	18-21 Years
DAY PROGRAM STUDENTS			
On-Campus Full-Time	90.8	89.6	83.4
Off-Campus Part-Time	9.2	10.4	16.6
RESIDENTIAL PROGRAM STUDENTS			
On-Campus Full-Time	90.6	81.5	73.5
Off-Campus Full- or Part-Time	9.4	18.5	26.5

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Tables III.1 through III.6 in Part Two of Volume II for more detailed breakdowns.

education classes. In other cases, some students were enrolled in specific courses in the local public schools as part of their academic curriculum at the separate facility; this was often the case in facilities for sensory impaired students which were not equipped to offer advanced classes in mathematics science, foreign languages, or other subjects to students pursuing an academic curriculum. These types of formal or informal arrangements with the local school district were also used by various case study facilities to provide vocational training in local vocational-technical schools for students with non-cognitive impairments. Links with local public schools to provide specialized academic or vocational services were, for obvious reasons, most often used for secondary school age students.

In addition, some case study facilities had special arrangements for younger age students. In one instance, a HeadStart program on-campus served both handicapped and nonhandicapped preschoolers. In a State-operated psychiatric facility, younger children were educated off-site in classrooms at local public schools and shared lunchrooms, physical education facilities, and vocational programs with nonhandicapped students. Some mentally retarded preschool and first-grade students from a locally operated separate facility, accompanied by a teacher and aide, regularly attended the nearby local public school program.

2. Non-Instructional Activities

In addition to opportunities for interaction with nonhandicapped persons provided during the school day as part of off-campus placements, the Survey of Separate Facilities also found that generally from 10 to 20 percent of students of all ages in separate facilities nationally were reported to interact with nonhandicapped peers at various social activities and off-campus events (see Table IV.2). Even activities in which relatively high proportions (between 60 to 80 percent) of students at separate facilities were reported to participate (social activities, organized physical exercise or games, and field trips) the proportion of students participating in these types of activities with nonhandicapped peers was less than 20 percent.

The case study facilities provide some detailed examples of the types of integration opportunities available at separate facilities. Field trips off-campus included visits to community businesses and public places, such as shopping malls, restaurants, churches, and recreational facilities. Some case study facilities for sensory impaired students and for mentally retarded students made special note of regularizing such community contact as part of the facility's educational program. A number of publicly operated facilities also reported that their students participated in extracurricular activities such as parties, assemblies, and other special events with students from local public schools.[2] Several case study facilities for students with mental retardation noted that peer volunteers from local public schools were involved with the handicapped students as tutors, "buddies," classroom aides, and in other similar capacities.

3. Changes in Opportunities for Student Interaction

Nationally, between 50 and 65 percent of separate facilities, depending upon whether they operated day or residential programs and whether they were

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[2] Facilities operated by local education agencies tended to have higher levels of interaction by virtue of the fact that they were generally in closer physical proximity to schools for nonhandicapped students.

TABLE IV.2

PERCENT OF SEPARATE SCHOOL STUDENTS PARTICIPATING IN NON-INSTRUCTIONAL ACTIVITIES AND PERCENT PARTICIPATING WITH NONHANDICAPPED PEERS

	Day School Students	Residential School Students
Social Activities, e.g., parties		
Participating	64.2	76.7
Participating with non-handicapped peers	20.2	17.1
Dance, Music, Drama		
Participating	45.1	48.8
Participating with non-handicapped peers	10.5	9.1
Organized Physical Exercise, Games		
Participating	71.3	78.8
Participating with non-handicapped peers	13.6	10.6
Field Trips		
Participating	61.6	66.7
Participating with non-handicapped peers	16.8	12.9
Other Off-Campus Events, e.g., movies, concerts		
Participating	27.0	54.7
Participating with non-handicapped peers	15.3	20.2
Competitive Sports		
Participating	15.8	23.5
Participating with non-handicapped peers	4.1	8.2
Special Interest Clubs/Activities		
Participating	14.0	22.6
Participating with non-handicapped peers	3.8	5.9

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Tables III.17 and III.18 in Part Two of Volume II for more detailed breakdowns.

operated by public or private agencies, reported that students in 1988 had more opportunities to interaction with nonhandicapped peers compared with students in 1976 (see Table IV.3). This change was less evident in facilities serving emotionally disturbed students and more evident in those facilities serving students with mental retardation. The case study facilities provide examples of the specific types of changes, including:

- Increased opportunities for interaction associated with transition activities or more joint programming with local public school programs
- Increased involvement in community-based activities (such as patronage of local entertainment and stores) as part of training in community living skills
- Increased use of field trips

The case study facilities also indicated a variety of reasons for these increases in opportunities for student interaction with nonhandicapped peers. For example, availability of funds was noted by some State-operated facilities as factors permitting more field trips and increased cooperation with LEAs. In the latter case, this was achieved by providing the funding necessary to increase suitable programming in the local public schools for students from the separate facility. SEA dissemination of models for community involvement by students with severe and profound retardation, presented at conferences and in publications, was also cited as a factor in increasing opportunities for such students. However, generally increases in the number of field trips were more frequently associated with facility staff's own interest and initiative.

TABLE IV.3

PERCENT OF ADMINISTRATORS AGREEING WITH STATEMENT ABOUT CHANGE IN OPPORTUNITIES FOR INTERACTION WITH NONHANDICAPPED PEERS

As compared with 1976, students at the facility have more opportunities to interact with nonhandicapped peers.	Primary Disability Served by the Facility		
	Mental Retardation	Emotional Disturbance	All Schools
DAY PROGRAMS			
Public	69.1	*	65.4
Private	69.5	36.2	50.7
Total	69.2	35.5	59.3
RESIDENTIAL PROGRAMS			
Public	64.2	50.3	64.0
Private	70.7	48.3	56.5
Total	67.1	48.8	58.8

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

* Indicates estimates for which sample size is judged insufficient to permit reliable statistical inference. In addition, where the percentages reported are zero or 100, it is not possible to calculate sampling variances using standard methods.

The deinstitutionalization movement and the stress on development of functional life skills were mentioned by facilities for students with mental retardation as changing their expectations and practices regarding student involvement with the community, and leading them to provide more off-campus activities including opportunities to practice life skills (such as shopping) in community settings. Case study facilities adding transition programs with trial placements in the student's home school had, by the nature of that program, increased opportunities for interaction with peers during the school day and in extracurricular activities.

4. Summary

While from half to two-thirds of separate facilities reported increased opportunities for students to interact with nonhandicapped peers since 1975, there have not been major changes in the types of opportunities provided. Most separate facilities already provided at least some opportunities for students to participate in off-campus activities, particularly outside the regular school day. Moreover, the extent to which such activities involve students in interactions with nonhandicapped peers appears generally to be low.

While SEA funds and technical assistance have had some impact on changes in this area, most changes appear to be the result of staff initiative in response to changing expectations and goals for students within the special education field and changing opportunities and acceptance of handicapped students in society and community.

B. PARENTAL INVOLVEMENT

Notification to parents and involvement of parents in placement and educational programming decisions for their handicapped child is a hallmark of P.L. 94-142. More than ten years after the passage of the Education of the Handicapped Act in 1975, virtually all separate facilities reported providing parents with opportunities to participate in the development and review of their child's IEP (see Table IV.4). According to data collected in the 1988 Survey of Separate Facilities, annual written reports on student progress are provided once a year to parents by about 12 percent of separate facilities, while one-third to three-quarters provide reports three or more times per year. Meetings with parents are scheduled once a year by 14 percent of day facilities and 29 percent of residential facilities, and an additional 50 percent of facilities schedule meetings three times a year or more.

The case study facilities illustrate various aspects of the involvement of parents in the education of their children and of changes in the provision by separate facilities of other types of support services to parents. One aspect has to do with parental response to opportunities for involvement in student's program at separate facilities. About half of the case study facilities reported that involvement by parents was generally quite poor, beyond that minimally required to agree to placement and IEP decisions. Many of these facilities served emotionally disturbed students, and most noted that emotional or other problems in the family were often the reason the child was placed (usually by a non-education agency) in their facility. Facilities (particularly State-operated programs) serving a wide area also noted that

TABLE IV.4

PERCENT OF SEPARATE FACILITIES REPORTING ON STUDENT PROGRESS TO PARENTS

Number of Times Per Calendar Year	Separate Day Schools	Separate Residential Schools
Formal written reports to parents		
0 times/year	1.3	3.3
1 time/year	13.3	12.3
2 times/year	19.6	10.1
3-4 times/year	45.8	52.1
5 or more	19.9	22.2
Meetings with parents		
0 times/year	0.3	2.0
1 time/year	14.1	29.1
2 times/year	34.9	21.5
3-4 times/year	37.2	28.3
5 or more	13.3	19.1

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

See Tables III.13 and III.14 in Part Two of Volume II for more detailed breakdowns.

distance and lack of financial resources often limited the ability of parents to be more involved in facility-based activities. Another set of case study facilities described the level of parental involvement as variable, generally corresponding with the child's age or with points of transition in the student's program. For example, parents of young children were often heavily involved with developing the child's educational program and interacting with facility staff; this generally tapered off until a major point of transition, such as the move to another level or type of program within the facility or when the student was about to leave the facility.

Facilities have used mechanisms other than written progress reports and IEP meetings, to involve parents. Many of the mechanisms or opportunities used at separate facilities are similar to those used by other schools, since parental involvement is of key concern in all educational settings. Some specific mechanisms reported by the case study facilities include:

- Parent in-service training
- Open-houses or parent days
- Parent support groups
- Parent/teacher associations
- Opportunities for parents to volunteer in the classroom

These types of activities for parents were frequently reported in most of the case study facilities. In addition, some facilities placed parents on advisory councils or the facility's board of directors.

Case study facilities also reported a number of ways they tried to involve individual parents in their child's program. Several facilities used parent-teacher conferences as a way to keep parents informed and involved. Other approaches unique to special education programs included offering individualized parent training to maintain, once at home, skills and behaviors acquired by the student in school, providing crisis intervention, and making referrals and generally aiding in the transition once the student left the facility. In addition, a small number of facilities offered parents respite care and one maintained residential arrangements on campus for distant parents who wanted to visit their child or attend facility activities.

A practice unique to facilities for emotionally disturbed students was the involvement of parents in family therapy to supplement the student's therapeutic program at the facility. Three-fifths of the case study facilities for emotionally disturbed students used this approach to parental involvement, most requiring parental participation in therapy as a prerequisite for admission of the student, although some encouraged, but did not require, such participation.

1. Changes in Level of Parental Involvement

Among the case study facilities, about half reported increased parental involvement and that the increase was most directly affected by SEA standards developed in response to the IEP provisions of P.L. 94-142 regarding parental involvement. The case study facilities indicated that the IEP requirements had forced even reluctant parents to become more involved in the educational decisions affecting their children. Several also specifically mentioned that the focus on parental involvement during compliance monitoring helped to reinforce their efforts to include parents in the IEP process and had resulted in an increase in parental involvement.

Only a few of the case study facilities reported that parents were generally less involved than in the past. All of these facilities noted that difficulties within the families of students had increased, along with severity of student impairment, making it less likely that parents would have the capacity emotionally or physically to participate actively in their children's educational program or in programs sponsored by the facility.

On the other hand, several case study facilities mentioned the greater severity of impairments among students, particularly mentally retarded students, as an important factor in increased parental involvement. In particular, their student populations had become more severely impaired, multi-handicapped, and/or medically involved, and these facilities indicated that the increased need by parents for information and support in managing specialized therapy and medical requirements as well as in reinforcing and developing functional skills was associated with increased parental involvement both in their children's individual education program and in parent groups and activities at the facility. For example, in one facility, the impetus for increased parental involvement in the parent association was to raise funds for the additional materials and equipment that were needed for the more severely impaired student population.

Several case study facilities also noted that the SEA had developed parent information materials that had increased parent awareness of their rights to be involved in student programming decisions and to participate in IEP meetings and other facility activities. In some cases, the facility itself distributed the SEA materials to parents, and in others, the SEA-funded resource/materials center was responsible for dissemination of those materials. The resource/materials center in another State provided in-service training and workshops for parents and in that State it was reported that involvement by parents had increased as a result.

2. Changes in Parent-Oriented Activities/Programs

As found in the Survey of Separate Facilities (see Table IV.5), a large majority (about 80 percent) of separate facilities reported that facility staff had increased their involvement with parents since 1976. The case study facilities also provided examples of specific activities or programs for parental involvement that were developed during the period since 1975. Added or enhanced activities included parent-teacher conferences and other communication avenues between the facility and parents, workshops or training sessions for parents, parent associations, open houses for parents, and family counseling support.

The initiative of the case study facilities' own teachers or administrators were key factors in trying to increase parental involvement by setting up parent-oriented activities and programs at several facilities. Activities initiated by the facilities themselves included individual contacts by teachers with parents, development of a State-wide parent association, provision of parent-infant institutes, and provision of family counseling.

At several case study facilities, the parent notification standards derived from EHA were the impetus for facilities developing specific parent outreach efforts--mailing of IEPs and student progress reports to parents of students in a State facility for persons with mental retardation, and parent conferences to keep parents of emotionally disturbed students placed at a

TABLE IV.5

PERCENT OF ADMINISTRATORS AGREEING WITH STATEMENT ABOUT CHANGE IN CONTACT WITH PARENTS

As compared with 1976, facility staff has had increased contact with parents.	Primary Disability Served by the Facility		
	Mental Retardation	Emotional Disturbance	All Schools
DAY PROGRAMS			
Public	88.1	*	83.2
Private	80.2	80.5	80.0
Total	86.0	77.4	81.9
RESIDENTIAL PROGRAMS			
Public	80.3	72.4	78.5
Private	83.8	76.4	77.1
Total	82.3	74.4	78.0

SOURCE: Survey of Separate Facilities, conducted in 1988 as part of this study.

* Indicates estimates for which sample size is judged insufficient to permit reliable statistical inference. In addition, where the percentages reported are zero or 100, it is not possible to calculate sampling variances using standard methods.

private facility informed of their rights. Some public facilities for mentally retarded students made note of the use of EHA-B set-aside funds to sponsor parent training at the facility. The availability of SEA staff to participate in parent training and workshops at the facility was also noted by some facilities as a factor in their ability to provide parent workshops. Another facility noted the encouragement it received from the non-SEA State agency under which it was administered in developing parent-teacher conferences and open houses for parents.

3. Summary

Parental involvement has changed significantly since the passage of P.L. 94-142, as a direct result of the requirement that parents be informed of their right to participate in educational decisions affecting their children. The incorporation of this requirement into State statute and regulations and monitoring of compliance were both credited by staff at the case study facilities as having major impacts on the general increase in parental involvement they had observed since 1975. Facilities were responsive to SEA requirements and procedures to ensure that parents are informed of and involved in decisions regarding their child's educational program, and facility efforts sometimes built on the information and training provided to parents by the SEA. However, even though facility contact with parents has increased and has been routinized through the IEP process, separate facilities also reported low average participation by parents in activities that go beyond those requirements. It was also reported that parental involvement was often highly variable, both across individuals based upon their own capacity and interest and for a given parent, across stages in the child's educational career.

Even so, some facilities have expanded and added specific activities to broaden the information provided to parents about their child's placement and program, to provide training and support to parents, and to involve parents in other activities at the facility. Facility leadership and the deepening impact of State requirements for parent participation were the most often mentioned factors in the development of activities for parents, beyond notification of and invitation to IEP meetings.

V. SUMMARY OF FACTORS AFFECTING EDUCATIONAL PRACTICE AT SEPARATE FACILITIES FOR STUDENTS WITH HANDICAPS

The integrated survey/case study effort undertaken in the Study of Programs of Instruction for Handicapped Children and Youth in Day and Residential Facilities had two major goals. One goal was to identify and describe the most important ways in which separate facilities providing educational and other services to students with handicaps had changed in the years since the implementation of the Education for All Handicapped Act of 1975. This goal is addressed in the analysis of the survey data provided by the Survey of Separate Facilities, conducted in 1988 with a large nationally representative sample of separate facilities, but the case study effort provides a more detailed examination of a number of important changes in facility educational practice. The second goal of the study was to determine the most important factors affecting the changes reported by separate facilities, particularly factors related to the procedures put in place by the State educational agencies to improve programs at those facilities. This goal was primarily addressed by the case study effort.

The chapters in Part Two of this volume described SEA procedures (standards, monitoring, funding, technical assistance and training, and program development and dissemination) in eight States, and concluded with some hypotheses about how the variation in these procedures across the States might be related to the influence SEAs have had on changes at separate facilities serving students with mental retardation or multiple handicaps, emotional disturbance, or sensory impairments. Part Three has examined several critical areas of facility educational programming in terms of the current practice in each area, changes in practice, and factors reported by the facility leadership and staff to have had an impact on changes. This summary chapter briefly reviews the major changes that were reported in each area of facility practice, summarizes the factors associated with these changes, and examines variation in the impact of SEA procedures across both States and facility operators.

A. MAJOR CHANGES REPORTED IN FACILITY PRACTICES

This study examined changes in facility practice in three main areas:

- Programs and methods of instruction, including planning to prepare students for and support them during transition from the separate facility either to their next educational placement or to community and vocational adult life, vocational and life skills training, integration of therapy and/or related services into the educational setting, and program evaluation
- Staffing, including the numbers and types of staff employed, staff development activities, and staff evaluation practices
- Opportunities for students to interact with nonhandicapped peers and to become involved in the local community where they live or attend school and for parents to become more broadly involved in their children's education and in support and other activities provided by the facility their children attend

Not all areas have seen the same degree of change during the years since the passage of P.L. 94-142, and change has been affected by different factors.

1. Programs and Methods of Instruction

The most frequently mentioned changes in the area of transition planning and programming were the development of more formal plans, associated with State requirements for such plans, SEA technical assistance and training in their preparation, and an increased recognition of the need for such plans as students move between educational placements and into the adult world.

The most frequently mentioned change in educational programs at the separate facilities included in the case study was an increased emphasis on vocational and community living preparation and training. These changes were most often associated with changes in the characteristics of the student population and their needs, with information and training provided by the State special education staff or resource/materials centers supported by the SEA, and with special funds available to support new or innovative programs in this area.

Of particular interest, although mentioned by only a few facilities, are innovative programs providing students with "real world" experiences in vocational and residential settings, through trial employment and independent living arrangements. Facilities' own leadership and initiative and State financial support and technical assistance were the factors most often associated with these innovations, which were most often in place at State-operated residential facilities.

The factor most often associated with the other major change in instructional practice, the increased use of psychological, physical and occupational therapy and other related services in the educational setting, was the increase in severity of impairment and prevalence of multiple handicapping conditions among the students at separate facilities.

2. Staffing

There have been substantial changes in the quality of instructional staff since 1976, in terms of appropriateness of training and prevalence of certification among staff at separate facilities. A major factor influencing these changes was reported to be State certification standards. Availability of SEA provided or supported technical assistance and training was also credited with improvements in the quality and credentials of staff.

Separate facilities reported changes in the types of instructional and related services personnel employed, including more staff trained and certified to teach multihandicapped and severely impaired students, vocational teachers and transition training staff, nurses and medical staff, occupational and physical therapists, social workers and psychologists, and administrative staff for new programs or outreach efforts. These changes were primarily attributed to changes in student characteristics, particularly in the severity of impairment, and changes in programming such as increased emphasis on life skills and vocational preparation, transition programs, and integrated treatment and educational approaches. However, recruitment and retention of qualified staff continue to be problems facing substantial numbers of separate facilities, as they respond to changing student needs.

The principal changes in the staff development opportunities available at the separate facilities included a shift in the focus of staff development topics from compliance issues to instructional approaches, a larger number of opportunities, and a closer relationship of staff development to identified student and staff needs. While the change in topics was most often associated with changes in the needs of the student population, SEA-provided or supported sources of technical assistance and information dissemination were noted by about half the facilities as a factor associated with the increase in staff development opportunities and for their focus on topics more closely associated with student and staff needs.

Staff evaluation activities were not reported to have changed substantially by most facilities.

3. Opportunities for Student Interaction and Parental Involvement

Although current levels of student interaction with nonhandicapped peers, either as part of instructional programs or during noninstructional activities, are generally fairly low, substantial proportions of separate facilities, particularly public facilities, reported that students now have more opportunities for such interaction than in the past. A variety of factors were associated with these changes, including funding for field trips and for appropriate educational programs in local public schools in which students from separate facilities could participate, dissemination by the SEA of models for community involvement, and increases in societal and staff expectations for fuller participation by handicapped persons in community life.

Parental involvement in the planning of their children's educational programs and services had changed significantly since the passage of P.L. 94-142 and its requirement that parents of students with handicaps be informed of and involved in the development and revisions of Individualized Educational Plans (IEPs). This requirement, incorporated into State standards, was frequently mentioned as a factor in the increased involvement of parents reported by the case study facilities. However, parents' participation in other activities provided by the facilities, including support and information programs, was generally only moderate at most.

Facilities had increased their activities involving parents, partly as a continued response to the EHA requirements and also as an expression of the commitment of facility staff to work with parents in meeting both student and family needs.

B. VARIATION IN THE EFFECT OF SEA PROCEDURES ON FACILITY PRACTICE

Based on information provided during the case studies, public facilities, whether operated by State or local agencies, were more likely than private facilities to report the effect of SEA standards in changes in facility practice, while the differences in the impact of funding and monitoring across the types of facilities were relatively minor. Separate facilities operated by local or regional public agencies gave more credit to SEA-provided or funded technical assistance and information dissemination for changes in their programs than did either State-operated or private facilities. This confirms the reports by SEA staff that, because SEA conferences, workshops, and resource/materials centers are generally geared toward local district special education programs, facility staff at State and private separate facilities are not as likely to attend and/or to gain new information or skills from such activities, even though they are routinely invited to participate.

The effect of standards was fairly consistent across the eight States, although they are most frequently mentioned in Connecticut, Florida, Louisiana, and South Carolina. Facilities in Ohio and Illinois also frequently mentioned monitoring as having an effect on changes in educational practice. A review of procedures, however, does not reveal any consistent approaches to monitoring across these States. Both Ohio and Illinois appear to provide more technical assistance during follow up to monitoring than other

States, while Connecticut and Florida both make use of separate units within the SEA special education division for monitoring, although other case study states also have such specialization as well. The use of self-evaluation as part of the monitoring process may, in the future, prove to be effective in facility changes as well, although this procedure is too recent to be evaluated in this study.

Technical assistance, training, program development, and dissemination activities of the SEA or of SEA-supported resource/materials centers were most often mentioned by the facilities in Ohio than in any other State as having wide ranging effects on facility practice. There was a wide gap between Ohio and the other case study States in the number of ways in which such SEA procedures influenced separate facilities. The most obvious difference between Ohio's technical assistance and dissemination system and those of the other States is its close link to program monitoring and the focus of monitoring on providing technical assistance for program improvement as well as for procedural compliance.[1] Ohio also allocates a large proportion of its EHA-B set-aside funds for the SERRC system of centers, although other States also do so.

C. SUMMARY OF FACTORS AFFECTING FACILITY CHANGE

Many changes in facility educational practice are directly related to changes in the number and characteristics of the students served at those facilities, in particular to the increases in severity of impairment and prevalence of multiple handicaps. All case study facilities reported that changes in staffing patterns or staff development activities reflected changes in the student population, as did many changes in the content of programs and the instructional approaches used. Facility leadership and facility staff have responded to their observations about the changing needs of their students with in-service training and program development designed to meet those needs. A small number of directors, generally of State-operated and private facilities, also mentioned the importance of facility participation in outside accreditation organizations and professional associations in keeping themselves and their staff abreast of the most up-to-date methods and approaches for educating handicapped students, particularly those with severe, multiple, and/or low-incidence handicaps.

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[1] Other States (Louisiana, for example) are in the process of implementing similar procedures.

The procedures implemented by State educational agencies are also frequently influential in the changes at separate facilities. Implementation of SEA standards are mentioned by almost all case study facilities as having an effect on changes in one or more areas of facility practice, particularly in staff certification, in-service training, activities to involve parents in educational plans and programming, and in transition activities. However, monitoring activities apart from the effect of the standards themselves, were not often noted by facilities as influential in change. This reinforces the observation that most monitoring procedures focus on compliance with Federal and State standards and not on issues of program content or instructional approach.[2] Funding was another SEA procedure which was not frequently mentioned as a factor in changes in facility educational practices directly.

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[2] Monitoring of placement decisions made by LEAs does in effect look at program content and approach in relation to individual student needs, but separate facilities are not responsible for placement decisions.

Funding levels were generally considered an important parameter within which all facilities must operate, but specific funding initiatives were not often cited as producing changes in facility practice. The effect of funding was most probably felt indirectly through changes in student population associated with any incentives or disincentives funding has for placement decisions in a given State.

The State special education system for the delivery of technical assistance, training, program development, and information dissemination was a frequently mentioned factor in one or more changes at almost all of the twenty-four case study facilities. Most frequently affected were changes in staff development activities, although these procedures also influenced facility program development activities (including transition) in almost half the facilities, and changes in program evaluation in one-third.

With the federal mandate given by P.L. 94-142, States have taken on an increasing role in the oversight and support of special education programs in separate facilities, particularly those in State-operated facilities. The procedures States use to exercise their role have been effective to some degree in influencing changes in educational practices at separate facilities of all types since 1975. However, it should be noted that the leadership and staff of these facilities also frequently mentioned other factors with as great, or sometimes greater, effect on these changes. Such factors include changes in the number, handicapping conditions, and severity of impairment of students, and changes in state-of-the-art practice that are communicated through peer relationships and organizational affiliations and translated into practice through the initiative of facility administrators and staff.

THE STUDY OF PROGRAMS OF INSTRUCTION FOR HANDICAPPED CHILDREN AND YOUTH IN DAY AND RESIDENTIAL FACILITIES

VOLUME III:

STATE EDUCATION AGENCY PROCEDURES AND EDUCATIONAL PRACTICE AT SEPARATE FACILITIES FOR STUDENTS WITH HANDICAPS

TECHNICAL APPENDICES

TECHNICAL APPENDIX III.A
DATA USED IN SELECTION OF STATES FOR CASE STUDY

The following analyses[1] were performed to provide a list of potential States for case study:

1. Examination of States in terms of current (1983-84) use of separate facilities for all handicapped students (Table III.A.1)

2. Examination of States in terms of change (1976-77 to 1983-84) in use of separate facilities for all handicapped students, in number of students (Table III.A.2) and in percent of handicapped students (Table III.A.3)

3. Examination of States in terms of 1984-85 use of separate day facilities for mentally retarded/multiply handicapped, emotionally disturbed, or sensory impaired students, for day facilities (Table III.A.4) and for residential facilities (Table III.A.5). The three handicap groupings used in this analysis were selected based on prior analyses of placement data (see Tables III.A.6 and III.A.7) which identified children with these handicaps as the most likely, in general, to be served in separate facilities

A. ANALYSES OF STATE USE OF SEPARATE FACILITIES

The first two sets of placement analyses examined the extent to which States served handicapped children in settings other than the regular school environment (i.e., in separate schools and other environments) during the 1983-84 school year and the extent to which State placement patterns had changed from 1976-77 to 1983-84.

The 1984-85 placement data reported by the States to OSEP in the Annual Data Reports, unlike that provided by the States for prior school years, required that States provide counts of the numbers of students served in specific types of day and residential facilities. The proportion of students with each of three categories of handicapping conditions (those widely served in separate facilities generally), by type of facility, was calculated for each State. The number of students served in private and public placements were combined to calculate these proportions, based on preliminary data available at the time these analyses were conducted. Subsequently, some State-specific data reports were amended.

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[1] All analyses included data on the 50 states and the District of Columbia.

B. ANALYSIS BY HANDICAP GROUP OF PLACEMENT PATTERNS IN SEPARATE FACILITIES

The patterns of placement in separate public and private day and residential facilities were based on preliminary 1984-85 data as well, and the proportion of students served in separate facilities, by handicapping condition, were calculated for the nation as a whole.

Because of the relative prevalence of these various handicapping conditions among the handicapped children being served in the nation's schools, a second analysis (see Table III.A.7) was undertaken in which the proportion of students being served in each type of facility was divided by the proportion of students with each handicapping condition to ascertain which conditions were over- or under-represented among the students being served in day and residential facilities.

TABLE III.A.1

STUDENTS IN SEPARATE SETTINGS BY AGE GROUPS, 1983-84
(PERCENT OF TOTAL HANDICAPPED STUDENT POPULATION)

General Rank	3-5 Year Olds		6-17 Year Olds		18-21 Year Olds	
High	Arkansas	(41%)	Connecticut	(10%)	Arkansas	(44%)
	Colorado	(34%)	Delaware	(17%)	Delaware	(39%)
			Dist. of Columbia	(20%)	Dist. of Columbia	(36.5%)
	Nevada	(43%)	Illinois	(9%)	Florida	(39%)
	New York	(55%)	Maryland	(12%)	Idaho	(81%)
	Rhode Island	(67%)	New York	(13%)	Illinois	(39%)
	Utah	(39%)	Virginia	(9%)	Maryland	(45%)
					Utah	(63%)
Low	Alabama	(5%)	Alabama	(2%)	Alabama	(8%)
	California	(1%)	Alaska	(1%)	Alaska	(2%)
	Hawaii	(5%)	California	(1%)	California	(3%)
	Massachusetts	(3%)	Georgia	(2%)	Michigan	(10%)
	Michigan	(5%)	Iowa	(2%)	Mississippi	(4%)
	Minnesota	(4%)	Michigan	(2%)	Montana	(6%)
	Montana	(2%)	Mississippi	(1%)	New Hampshire	(9%)
	Nebraska	(2%)	Oklahoma	(2%)	Wyoming	(7%)
	South Dakota	(2%)				
	Tennessee	(1%)				
	West Virginia	(3%)				
U.S. Average		39.8%		5.3%		21.7%

SOURCE: U.S. Department of Education, 1985.

TABLE III.A.2

CHANGE IN STUDENTS IN SEPARATE SETTING BY AGE GROUP, 1976-77 to 1983-84

General Position	3-5 Year Olds		6-17 Year Olds		18-21 Year Olds	
Large Increase	Arkansas	(1,412)	Connecticut	(1,952)	Florida	(1,289)
	Florida	(1,623)	Delaware	(850)	Illinois	(4,409)
	Illinois	(1,768)	Florida	(3,418)	Maryland	(2,289)
	Indiana	(1,424)	Indiana	(1,655)	Michigan	(1,497)
	Iowa	(2,182)	Louisiana	(735)	New York	(4,550)
	Louisiana	(1,057)	Maryland	(5,723)	Ohio	(3,263)
	Maryland	(1,569)	New York	(18,324)	Pennsylvania	(2,627)
	New York	(8,325)			Texas	(2,855)
Large Decrease	Kentucky	(-1,659)	California	(-9,549)	California	(-132)
	Massachusetts	(-649)	Colorado	(-6,435)	Iowa	(-267)
	Michigan	(-559)	Georgia	(-3,895)	Kentucky	(-532)
	Ohio	(-550)	Illinois	(-5,958)	Michigan	(-2,171)
	Pennsylvania	(-1,460)	Massachusetts	(-16,180)	New Jersey	(-432)
	South Carolina	(-565)	Michigan	(-5,800)	North Carolina	(-273)
	Wisconsin	(-506)	Minnesota	(-4,357)	Wisconsin	(-432)
			Missouri	(-7,285)		
			New Jersey	(-14,026)		
			Tennessee	(-3,771)		
			Texas	(-4,073)		
U.S. Total		18,387		-69,414		27,735

SOURCE: U.S. Department of Education, 1985.

TABLE III.A.3

1976-77 TO 1983-84 CHANGE IN NUMBER OF HANDICAPPED STUDENTS IN SEPARATE SETTINGS PER 10,000 AGE GROUP MEMBERS IN 1984

General Position	3-5 Year Olds		6-17 Year Olds		18-21 Year Olds	
Large Increase	Alaska	(107)	Connecticut	(36)	Arkansas	(40)
	Arkansas	(141)	Delaware	(79)	Connecticut	(38)
	Maryland	(110)	Florida	(20)	Idaho	(66)
	Nevada	(108)	Indiana	(16)	Illinois	(54)
	New York	(135)	Maryland	(75)	Maryland	(70)
	Rhode Island	(184)	Montana	(18)	Massachusetts	(34)
	Vermont	(75)	New York	(59)	New York	(37)
	Washington	(74)			Ohio	(43)
Large Decrease	Dist. of Col.	(-75)	Arkansas	(-54)	Iowa	(-14)
	Hawaii	(-44)	Colorado	(-115)	Kentucky	(-20)
	Kentucky	(-105)	Massachusetts	(-165)	Michigan	(-33)
	Massachusetts	(-36)	Minnesota	(-57)	New Jersey	(-9)
	South Carolina	(-41.5)	Missouri	(-82)	North Carolina	(-6)
	Wisconsin	(-27)	New Jersey	(-106)	Vermont	(-16)
	Wyoming	(-34)	South Dakota	(-56)	Wisconsin	(-12)
			West Virginia	(-51)		
U.S. Average		20.1		-16.3		16.7

SOURCE: U.S. Department of Education, 1985.

TABLE III.A.4

PROPORTION OF STUDENTS 3-21 YEARS OLD SERVED IN DAY FACILITIES BY HANDICAPPING CONDITION

1984-85 SCHOOL YEAR

	Mentally Retarded Multi-handicapped			Hard of Hearing & Deaf Visually Handicapped Deaf-Blind			Emotionally Disturbed			
State	Number	Percent	Rank	Number	Percent	Rank	Number	Percent	Rank	Average Rank
Iowa	0	0.00	1	0	0.00	2	0	0.00	2	1
Nebraska	13	0.14	3	2	0.20	3	0	0.00	2	3
New Mexico	65	1.39	5	2	0.30	4	15	0.45	6	5
Alabama	10	0.03	2	8	0.77	10	75	1.45	10	7
Washington	454	3.15	12	40	1.31	12	8	0.20	3	9
Wisconsin	708	4.27	18	33	1.61	13	68	0.38	5	12
Idaho	26	0.84	4	8	1.10	11	33	4.81	24	13
South Carolina	1,587	5.44	21	13	0.69	8	166	1.77	11	13
Texas	1,931	3.27	14	335	2.67	16	915	2.57	15	15
Michigan	1,219	3.34	15	19	0.40	5	1,547	5.52	26	15
Massachusetts	1,480	2.86	10	129	2.78	17	867	2.86	20	16
West Virginia	819	6.06	23	5	0.58	7	65	2.66	18	16
Montana	144	6.23	25	11	2.01	14	22	2.41	12	17
Arizona	374	3.17	13	209	9.40	33	99	1.05	9	18
South Dakota	131	3.85	17	12	3.24	22	19	2.65	17	19
California	462	1.40	6	38	0.42	6	1,836	20.27	45	19
Colorado	1,156	13.62	35	47	2.80	18	40	0.35	4	19
Kansas	518	6.98	28	38	3.13	21	45	0.75	8	19
Hawaii	101	5.09	20	41	8.51	32	3	0.47	7	20
North Carolina	2,329	5.50	22	81	2.30	15	382	3.94	22	20
Wyoming	99	7.33	29	2	0.70	9	39	3.39	21	20
Georgia	764	2.06	9	367	11.81	39	759	2.41	13	20
Oklahoma	280	1.47	7	150	9.65	35	38	2.76	19	20
Alaska	54	6.92	27	9	3.30	23	9	2.42	14	21
Mississippi	558	3.08	11	117	10.58	38	31	4.91	25	25
Vermont	109	3.51	16	14	5.09	25	50	9.24	33	25
Nevada	462	27.73	46	0	0.00	2	100	7.27	29	26
Maine	708	8.69	30	28	3.08	20	500	8.85	31	27
Kentucky	1,600	4.90	19	165	5.22	26	581	17.90	44	30

TABLE III.A.4 (continued)

State	Mentally Retarded Multi-handicapped			Hard of Hearing & Deaf Visually Handicapped Deaf-Blind			Emotionally Disturbed			Average Rank
	Number	Percent	Rank	Number	Percent	Rank	Number	Percent	Rank	
Ohio	967	1.53	8	264	6.80	30	3,138	42.62	51	30
Indiana	3,550	13.17	34	108	4.64	24	388	8.95	32	30
Missouri	2,888	10.67	33	212	7.90	31	777	5.87	27	30
Tennessee	2,416	9.26	31	315	10.33	37	184	4.68	23	30
Virginia	1,851	9.49	32	97	2.96	19	1,970	17.90	43	31
Arkansas	1,400	6.12	24	167	9.74	36	128	15.44	41	34
Oregon	956	17.73	38	169	6.79	29	350	12.49	38	35
North Dakota	123	6.81	26	108	38.43	50	29	7.46	30	35
New Hampshire	263	17.64	37	49	9.42	34	183	12.21	37	36
Louisiana	4,178	23.56	43	136	5.61	27	744	14.32	39	36
Utah	1,615	29.04	48	563	38.35	49	445	2.57	16	38
Delaware	678	26.56	45	61	19.06	43	276	6.99	28	39
Illinois	6,992	20.12	42	344	5.87	28	8,417	23.50	47	39
Minnesota	3,209	15.67	36	406	15.17	41	1,702	15.58	42	40
Connecticut	1,259	18.82	40	408	27.24	48	1,524	9.87	35	41
Florida	7,522	28.07	47	730	17.68	42	2,544	9.74	34	41
Rhode Island	259	18.89	41	145	45.89	51	140	11.08	36	43
Pennsylvania	7,215	17.99	39	1,517	22.19	45	4,670	22.83	46	43
New Jersey	4,946	25.22	44	637	21.06	44	4,233	23.65	48	45
New York	14,329	31.50	49	2,154	25.20	47	7,748	14.38	40	45
Maryland	5,976	51.66	51	373	12.63	40	1,830	40.23	50	47
District of Columbia	586	32.34	50	34	24.11	46	251	29.81	49	48
50 States & DC	91,339	9.61	--	10,920	12.30	--	49,983	9.97	--	--

SOURCE: Preliminary 1984-85 placement data reported by the States to OSEP in the Annual Data Reports.

TABLE III.A.5

PROPORTION OF STUDENTS 3-21 YEARS OLD SERVED IN RESIDENTIAL FACILITIES BY HANDICAPPING CONDITION

1984-85 SCHOOL YEAR

State	Mentally Retarded Multi-handicapped			Hard of Hearing & Deaf Visually Handicapped Deaf-Blind			Emotionally Disturbed			Average Rank
	Number	Percent	Rank	Number	Percent	Rank	Number	Percent	Rank	
Alabama	--	--	--	--	--	--	--	--	--	--
California	--	--	--	--	--	--	--	--	--	--
Nevada	0	0.00	1	0	0.00	2	2	0.15	1	1
Utah	3	0.05	2	4	0.27	4	60	0.35	2	3
Texas	327	0.55	5	618	4.92	12	141	0.40	4	7
Massachusetts	375	0.72	9	34	0.73	6	220	0.73	8	8
North Dakota	12	0.66	6	0	0.00	2	6	1.54	15	8
Kentucky	220	0.67	7	33	1.04	7	66	2.03	19	11
Minnesota	162	0.79	11	187	6.99	19	38	0.35	3	11
Pennsylvania	301	0.75	10	411	6.01	17	131	0.64	6	11
Alaska	4	0.51	3	1	0.37	5	16	4.30	30	13
Delaware	21	0.82	12	14	4.38	10	87	2.20	20	14
Michigan	352	0.97	13	208	4.41	11	897	3.20	25	16
Missouri	283	1.05	14	373	13.89	31	94	0.71	7	17
Georgia	511	1.38	18	359	11.55	27	316	1.00	9	18
Arizona	61	0.52	4	318	14.30	32	268	2.85	23	20
Wisconsin	327	1.97	23	299	14.62	33	91	0.51	5	20
Hawaii	44	2.22	24	0	0.00	2	49	7.69	37	21
Iowa	176	1.12	16	278	18.82	37	110	1.38	14	22
South Carolina	698	2.39	28	245	12.96	30	102	1.09	10	23
Illinois	964	2.77	34	436	7.44	21	697	1.95	16	24
New Jersey	1,470	7.49	47	91	3.01	8	350	1.96	17	24
Arkansas	429	1.88	21	184	10.74	25	32	3.86	27	24
Florida	595	2.22	26	707	17.12	36	300	1.15	11	24
Nebraska	333	3.54	37	100	9.90	24	49	1.24	13	25
West Virginia	146	1.08	15	253	29.18	47	29	1.19	12	25
Washington	399	2.77	33	277	9.08	23	91	2.32	21	26
Vermont	22	0.71	8	55	20.00	38	35	6.47	33	26
Colorado	217	2.56	30	187	11.16	26	334	2.94	24	27
Wyoming	121	8.96	48	10	3.50	9	46	4.00	28	28

TABLE III.A.5 (continued)

State	Mentally Retarded Multi-handicapped			Hard of Hearing & Deaf Visually Handicapped Deaf-Blind			Emotionally Disturbed			Average Rank
	Number	Percent	Rank	Number	Percent	Rank	Number	Percent	Rank	
New Mexico	87	1.86	20	239	36.05	49	66	2.00	18	29
New York	1,591	3.50	36	509	5.95	15	4,556	8.46	41	31
Rhode Island	90	6.56	43	17	5.38	13	91	7.21	36	31
Tennessee	418	1.60	19	484	15.87	34	320	8.15	39	31
New Hampshire	75	5.03	39	31	5.96	16	119	7.94	38	31
Indiana	518	1.92	22	555	23.82	43	185	4.27	29	31
Maine	215	2.64	32	57	6.26	18	521	9.23	44	31
Montana	29	1.25	17	114	20.80	39	78	8.53	42	33
District of Columbia	46	2.54	29	11	7.80	22	151	17.93	48	33
Ohio	8,471	13.36	49	273	7.03	20	338	4.59	31	33
North Carolina	971	2.29	27	801	22.76	42	541	5.58	32	34
Oregon	307	5.69	41	289	11.62	28	197	7.03	35	35
Connecticut	462	6.90	45	89	5.94	14	1,476	9.56	46	35
Virginia	838	4.30	38	398	12.16	29	915	8.32	40	36
Louisiana	1,202	6.78	44	641	26.45	46	122	2.35	22	37
Kansas	436	5.88	42	316	26.01	45	211	3.53	26	38
Oklahoma	1,019	5.34	40	328	21.09	40	92	6.68	34	38
Idaho	80	2.58	31	178	24.42	44	60	8.75	43	39
Mississippi	402	2.22	25	383	34.63	48	59	9.34	45	39
Maryland	403	3.48	35	638	21.61	41	458	10.07	47	41
South Dakota	242	7.10	46	62	16.76	35	143	19.97	49	43
50 States & DC	26,475	2.79	--	12,095	13.62	--	15,356	3.06	--	--

SOURCE: Preliminary 1984-85 placement data reported by the States to OSEP in the Annual Data Reports.

TABLE III.A.6

NUMBER AND PERCENT OF STUDENTS BY TYPE OF SEPARATE FACILITY
1984-85 SCHOOL YEAR

	Public Separate Day Facility		Private Separate Day Facility		Public Residential Facility		Private Residential Facility	
	(#)	(%)	(#)	(%)	(#)	(%)	(#)	(%)
Learning Disabled	20,241	14	14,205	16	555	1	1,032	6
Speech or Language Impaired	10,870	7	27,715	31	313	1	293	2
Mentally Retarded	57,295	38	14,555	16	17,689	43	2,694	16
Emotionally Disturbed	32,008	21	17,975	20	6,337	15	9,019	54
Hard of Hearing/Deaf	5,113	3	3,262	4	7,577	18	764	5
Multihandicapped	12,570	8	6,919	8	4,354	11	1,738	10
Orthopedically Impaired	6,712	4	2,803	3	416	1	369	2
Other Health Impaired	2,907	2	1,420	2	531	1	411	2
Visually Handicapped	1,143	1	922	1	2,743	7	289	2
Deaf-Blind	430	0	109	0	640	2	82	0
All Conditions	149,546	100	89,951	100	41,182	100	16,717	100

SOURCE: Preliminary 1984-85 placement data reported by the States to OSEP in the Annual Data Reports.

TABLE III.A.7

PROPORTION OF STUDENTS 3-21 YEARS OLD, BY TYPE OF SEPARATE FACILITY AND HANDICAPPING CONDITION

1984 SCHOOL YEAR

Handicapping Condition	% in Facility	% in Child Count	Index of Representation
Public Separate Day Facilities (149,546)			
Mental Retardation	38	16	2.4
Emotional Disturbance	21	9	2.3
Learning Disability	14	42	.3
Multiple Handicaps	8	2	4.0
Speech Impaired	7	26	.3
Private Separate Day Facilities (89,951)			
Speech Impaired	31	26	1.2
Emotional Disturbance	20	9	2.2
Learning Disability	16	42	.4
Mental Retardation	16	16	1.0

TABLE III.A.7 (continued)

Handicapping Condition	% in Facility	% in Child Count	Index of Representation
Public Residential Facilities (41,182)			
Mental Retardation	43	16	2.7
Hard of Hearing and Deaf	18	2	9.0
Emotional Disturbance	15	9	1.7
Multiple Handicaps	11	2	5.5
Visual Impairment	7	1	7.0
Private Residential Facility (16,717)			
Emotional Disturbance	54	9	6.0
Mental Retardation	16	16	1.0
Multiple Handicaps	10	2	5.0
Learning Disability	6	42	.1

SOURCE: Preliminary 1984-85 placement data reported by the States to OSEP in the Annual Data Reports.

NOTE: Total Count of Students = 4,315,094.

[1] A value of 1.0 indicates equal representation of the group in separate facilities as in the handicapped population as a whole, a value greater than 1.0 indicates over-representation of the group in separate facilities compared to the total population and a value less than 1.0 indicates underrepresentation of this group in separate facilities.

TECHNICAL APPENDIX III.B
STATE SITE VISIT PROTOCOL OUTLINE AND PROCEDURES

The State site visit protocol contained a guide for review of State documents and discussions with State educational agency staff and staff of other State agencies. It also contained instructions regarding activities each site analyst was to complete preparatory to the site visit, during the site visit, and after the site visit. Appended to the protocol were sample letters and other materials sent to State directors and liaison staff prior to the site visit.

Overview of Topic Guide

The following topic areas were covered in the guide:

- State economic and political context
- Legislative and court action affecting separate facilities
- Role of other State agencies in special education
- Use of separate facilities
- Structure and funding of SEA
- SEA procedures: Allocation of funds
- Long-range planning and evaluation
- Interaction with LEAs/IEUs
- Interaction with State-operated programs
- Interaction with private facilities
- SEA goals for improvement of education in separate facilities
- SEA procedures: Program/curriculum development
- SEA procedures: Staff certification/standards

- SEA procedures: Personnel development
- SEA procedures: In-service training
- SEA procedures: Technical assistance
- SEA procedures: Dissemination/communication
- SEA procedures: Monitoring
- SEA procedures: Facility standards and approval process
- Factors affecting implementation of SEA procedures in separate facilities

Most topics had two sets of pages: (1) a page which outlined the specific topics to be addressed under each general topic and a column in which to note the document source(s) and/or individual(s) from which specific information was obtained, and (2) a facing page with suggested probes to be used during the discussion. As noted below, the site analyst was required to select the appropriate topics for a particular individual respondent, depending upon the individual's position and experience within the SEA (or other agency).

Site Analyst Activities Preparatory to Site Visit

In the most cases the site analyst had the following materials for review prior to the site visit:

- Annual plans submitted to the U.S. Department of Education in application for 94-142 funds
- State statutes and/or regulations pertaining to special education
- Monitoring forms (and sometimes procedures manuals)
- Organizational charts for the special education division (and sometimes the Department of Education).

Miscellaneous other background materials, when available, were also reviewed.

Prior to the site visit the analyst used the topic guide to identify pertinent sections of the documents and made notes regarding State-specific organizational structures, procedures, changes, or events to be probed. The analyst also reviewed the organizational chart(s) to identify any potential respondents who may not have been scheduled.

Site Analyst Activities During the Site Visit

Generally, the first morning of the site visit was spent with the designated liaison staff person in the division or office of special education within the SEA. The analyst generally reviewed the following with the liaison, in addition to any other substantive issues:

- Schedule for visit (confirming times and locations of interviews, specific topics for each respondent)
- Procedures used to schedule interviews with additional staff
- Procedures used to obtain additional documents identified during interviews
- Plans to distribute site report for review and correction by SEA staff
- General SEA and special education division organizational structure and responsibilities
- Basic facts about the special education delivery system in the State (particularly the involvement of other State agencies and intermediate education units)

All interview notes were recorded in notebooks, and each evening of the site visit, the analyst was to review the day's notes, annotating them as necessary to ensure legibility and completeness and to identify outstanding issues. At that time, the next day's agenda was also reviewed to ensure that the analyst had identified all the relevant questions for each respondent.

The analyst generally conducted a brief exit interview with the liaison to discuss follow-up activities and to express appreciation for their assistance on the project.

Site Analyst Activities After the Site Visit

As soon as possible after the site visit, the analyst:

- Sent thank-you letters to each respondent
- Transcribed all notes, as close as possible to verbatim
- Prepared a list of documents to be requested from the liaison, if not done as part of the exit interview

The analyst then prepared the site report following the protocol outline. Once the report was reviewed by project staff, it was sent to the State liaison for review.

TECHNICAL APPENDIX III.C

FACILITY SITE VISIT PROTOCOL OUTLINE AND PROCEDURES

This appendix includes an abbreviated version of the facility site visit protocol, including the following items:

- The outline of the protocol
- An introduction to the protocol which includes an overview of the study and general instructions for the site analyst
- Two cards developed to assist respondents in understanding the purpose of the study and to aid in formulating responses to specific questions

PROTOCOL OUTLINE

I. Facility Characteristics

- A. Administrative Characteristics and Funding
- B. Program Offerings
- C. Student Population
- D. Staffing Patterns

II. Facility Experience with SEA Procedures

- A. Relationship with SEA
- B. SEA Funding Procedures
- C. Educational Standards
- D. SEA Compliance Monitoring
- E. Technical Assistance and Training
- F. Program Development and Dissemination

III. Relationship with LEAs, IEUs, and Other State Agencies

- A. Local Education Agencies
- B. IEUs
- C. Other State Agencies

IV. Impact of SEA Procedures on Changes in Facility Practice

- A. Staffing Patterns
- B. Staff Development
- C. Staff Evaluation
- D. Program Evaluation
- E. Adoption of New Methods and Programs
- F. Student Transition
- G. Student Interaction with Non-Handicapped Peers
- H. Parental Involvement

V. SEA Interviews

- A. Changes in Facility
- B. Formal and Informal Relationships with Facility
- C. Effect of SEA Procedures
- D. LEA, IEU, and/or Other State Agency Relationship with Facility

VI. LEA Interviews

- A. Changes in Facility
- B. Formal and Informal Relationships with Facility
- C. Effect of LEA Procedures
- D. SEA and/or Other State Agency Relationship with Facility

VII. Other State Agency Interviews

A. Changes in Facility
B. Formal and Informal Relationships with Facility
C. Effect of Other State Agency Procedures
D. LEA, IEU and/or SEA Relationship with Facility

FACILITY CASE STUDY PROTOCOL OVERVIEW

Overview

Each site visit lasted approximately two days. About one and one-half days were spent in discussions with knowledgeable facility staff (e.g., principal, education director, in-service coordinator) on topics such as staffing patterns, staff development, program and staff evaluation, adoption of new methods and programs, student transition planning, student interaction with non-handicapped peers, and parental involvement. Approximately one-half day was spent with State and/or local education agency staff discussing changes in policies and procedures that may have specifically affected the case study facility.

Site Analyst Activities Preparatory to Facility Site Visit

Prior to the site visit, the analyst:

- Sent a letter to the facility to confirm the site visit dates. The confirmation letter also restated the purpose of the visit, the topics to be covered, and potential respondents.
- Requested that the facility send information about the school and its programs such as an organizational chart, brochures, annual reports etc. for review prior to the site visit.
- Reviewed the State-level case study notes for the State in which the facility was located, the pilot survey questionnaire for the facility if applicable, and any background information sent by the State or facility.
- Reviewed the case study protocol and tailored the protocol to the specific facility and/or State as necessary.

Site Analyst Activities During the Facility Site Visit

During the first morning of the site visit, the analyst reviewed the following with the facility administrator:

- The site visit schedule. The analyst confirmed the names and titles of the persons to be interviewed and the topics with which each respondent was familiar.
- Procedures to be used to schedule visits with individuals not identified prior to the site visit
- Procedures to be used to obtain any relevant documents

After the first day of the site visit, the analyst reviewed the discussion notes, annotating them as necessary to ensure legibility and completeness and to identify outstanding issues. The next day's agenda was then reviewed to ensure that the analyst had identified all the relevant questions for each respondent.

The analyst conducted a brief exit interview with the facility administrator to summarize the visit, obtain permission to call back after the site visit for clarification if necessary, and to express appreciation for their assistance on the project.

Site Analyst Activities After the Facility Site Visit

Following the site visit, the analyst:

- Sent thank-you letters to each respondent. Copies of the letters were sent to MPR for the project files.
- Wrote up the site visit notes using the protocol as a guide.

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